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ABSTRACT

This manual is designed primarily as a guide for libraries undertaking a formal study of preservation needs as a foundation for planning programs to meet those needs. Based on the "assisted self-study approach" process, it presupposes a library staff large enough to permit the assignment of about two dozen people for an average of 5 or 6 hours per week for a 2- or 3-month period, with a smaller team coordinating the study over 4 to 6 months; however, the methodology is also suitable for independent use and may be adapted by smaller libraries. Members of the Association of Research Libraries (ARL) Preservation Planning Program Advisory Committee and participants in the 1981 Preservation Planning Program Pilot Test are listed and the following aspects of the planning program are discussed: (1) Introduction to the Preservation Planning Program; (2) Preparation for the Planning Study; (3) Phase I--Establishing the Study Framework; (4) Phase I Continues--Background Paper and Phase II Plans; (5) Phase II--Task Force A, Environmental Conditions; (6) Phase II--Task Force B, Physical Condition of the Collections; (7) Phase II--Task Force C, Organization; (8) Phase II--Task Force D, Disaster Control; (9) Phase II--Task Force E, Preservation Resources; (10) Phase II--Task Force F, Staff and User Education; (11) Phase II--Task Force G, Interinstitutional Cooperation; and (12) Phase III--Planning for Preservation. (KM)

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PRESERVATION PLANNING PROGRAM

An Assisted Self-Study Manual for Libraries

EXPANDED 1987 EDITION

OMS

Washington, D.C.
Association of Research Libraries
Office of Management Studies

1982

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PRESERVATION PLANNING PROGRAM

An Assisted Self-Study Manual for Libraries

Prepared by Pamela W. Darling
with Duane E. Webster

Development supported by a grant from the
National Endowment for the Humanities

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PREFACE

In 1979, the National Endowment for the Humanities awarded a grant of $151,924 to the Association of Research Libraries' Office of Management Studies (ARL/OMS), for the design and testing of "a self-study procedure to enable academic libraries to identify and address preservation problems." OMS staff members Duane E. Webster, Jeffrey Gardner and Maxine Sitts laid the foundation for the project, and conducted a survey of preservation activities in ARL member libraries in the spring of 1980. This survey resulted in the publication of three SPEC Kits*, and provided background for subsequent work.

In July 1980, Pamela W. Darling was employed as Preservation Specialist to develop and test the planning process. Three libraries, those of Dartmouth College and the universities of Virginia and Washington, used the draft manual in pilot tests conducted in 1981, and the present volume owes much to the thorough and thoughtful evaluations and suggestions provided by the staff in each of these institutions.

Project staff were beneficiaries of a wealth of experience, information and counsel from an advisory committee of research librarians and preservation specialists. The patience, creative suggestions and unfailing support of Dr. Margaret E. Child, Assistant Director for Research Resources at the National Endowment for the Humanities, were invaluable in bringing the work to completion.

Pamela W. Darling
March 31, 1982

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* PLANNING FOR PRESERVATION (#66), DISASTER PREVENTION AND PREPAREDNESS (#69) and BASIC PRESERVATION PROCEDURES (#70). Washington DC: Association of Research Libraries, Office of Management Studies, 1980-81.

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HOW TO USE THIS MANUAL

The Preservation Planning Program Manual is designed primarily as a guide for libraries undertaking a formal study of preservation needs as a foundation for planning programs to meet those needs. It is based on the "assisted self-study" process and presupposes a library staff large enough to permit the assignment of about two dozen people to the job. Most of these will be involved an average five or six hours per week for a two or three month period, with a smaller team coordinating the study over four to six months. The Office of Management Studies, as part of its Academic Library Program, will provide consultants on a fee basis to libraries wishing to use the Preservation Planning Program materials in this formal "assisted self-study" manner.

Although large academic libraries are most likely to experience severe preservation problems, deterioration affects all collections, and planning for preservation is consequently appropriate in all kinds of libraries. A formal approach is generally most effective, as discussed in Chapter II, but the Preservation Planning Program methodology is suitable for independent use (i.e., without an outside consultant), and may also be adapted by smaller libraries.

Where a less formal or intensive approach to preservation planning is preferred, or the staff is too small to undertake the process in the manner specified in the Manual, activities described as taking place concurrently can be done sequentially. One logical sequence would be:

- Preparation and Background Study (Chapters I-IV)
- Resources (Chapter IX)
- in any order: Environment (Chapter V)
  Condition (Chapter VI)
  Disaster Control (Chapter VIII)
- Organization (Chapter VII)
- Action Planning (Chapter X)

Preservation is a complex and rapidly evolving field, with a growing body of technical information not yet familiar to most library staff members. Intensive staff education is therefore a major element in successful planning for preservation, and to this end the Manual is accompanied by the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK, containing important, often difficult-to-acquire documents. Both are to be used in conjunction with other published materials (listed in the Resource Notebook), which should be assembled at the beginning of the study. Most are from the professional literature and may already be in the library. Together with the Manual and Resource Notebook, they form a core reference collection which will support both preservation planning activities and on-going preservation programs.

PRESERVATION PLANNING PROGRAM MANUAL

TABLE OF CONTENTS

I. Introduction to the Preservation Planning Program — Page 1
- Rationale and background
- The Preservation Planning Program
  - Objectives
  - Techniques
  - Sequence of Study Activities
- Who is Involved
  - Library staff - Study Team & Task Forces
  - Library Director
  - Office of Management Studies
- Program Results
- Appendix I: Outline of Study Activities

II. Preparation for the Planning Study — Page 12
- The Decision
- Forming the Study Team
  - Team Members
  - The Chairperson
  - The Charge
- Informing the Staff

III. Phase I: Establishing the Study Framework — Page 16
- Preservation Study Model
  - The Problem
  - Causal Factors
  - Control Strategies
- Study Techniques
  - Data-Gathering
  - Planning and Problem-solving Methods
  - Apportioning the Work
  - The Three Study Phases
- Phase I begins - The First Visit
- Appendix III-1: Action Planning Worksheet
  - III-2: Brainstorming
  - III-3: Force-Field Analysis
  - III-4: Cost/Benefit Analysis
  - III-5: Ranking Recommendations and Establishing Priorities

IV. **Phase I Continues: Background Paper & Phase II Plans** Page 31
Conducting the Background Study
Review of Progress
    Content
    Methodology
Planning Phase II
    The Task Force Approach
    Scheduling Phase II
    Completing the Background Paper
    Selecting Task Force Members
Orienting Task Force Members - The Second Visit
Appendix IV: About the Background Paper

V. **Phase II: Task Force A - Environmental Conditions** Page 40
Introduction to Environmental Issues
    Environmental Characteristics of Library Facilities
    Problems in Studying Environmental Conditions
    Assumptions Underlying the Environmental Investigation
Organizing the Investigation of Environmental Conditions
Steps in the Investigation
    Selecting Spaces for Examination
    Examination of Sample Environments
    Analyzing the Environmental Data
Developing Recommendations for Improving Environment
Reporting to the Study Team
Appendix V-1: Sequence of Tasks for the Environmental Investigation
    V-2: Checklist for Environmental Examination
    V-3: Environmental Monitoring
    V-4: Sample outline for Environmental Task Force Report

VI. **Phase II: Task Force B - Physical Condition of the Collections** Page 59
Introduction to Condition Issues
    Problems in Studying the Condition of the Collections
    Assumptions Underling the Investigation of Collection Conditions
Organizing the Examination of the Collections
Steps in the Investigation
    Inventory of Collections
    Selecting Materials for Examination
    Physical Examination of Selected Materials
    Analyzing Physical Condition Data
Developing Recommendations for Improving the Condition of Collections
Reporting to the Study Team
Appendix VI-1: Sequence of Tasks for the Condition Review
    VI-2: Sample Inventory Format
    VI-3: Sample Outline for Condition Task Force Report

VII. **Phase II: Task Force C - Organization** Page 71
Introduction to Organizational Issues
    Problems in Studying the Organization of Preservation Functions
    Assumptions Underlying the Organizational Review
Organizing the Investigation
Steps in the Investigation
    Identifying Preservation Functions
    Determining Information Needs
    Gathering Information
    Analyzing the Organizational Data
Developing Recommendations on an Organization for Preservation
Reporting to the Study Team
Appendix VII-1: Sequence of Tasks for the Review of Organization
    VII-2: Preservation Staffing Survey
    VII-3: Checklist for Gathering Preservation Budget Data
    VII-4: Sample Outline for Organization Task Force Report

VIII. **Phase II: Task Force D - Disaster Control** Page 88
Introduction to Disaster Issues
    Problems in Studying the Library's Disaster Control Capability
    Assumptions Underlying the Disaster Control Investigation
Organizing the Disaster Control Investigation
Steps in the Investigation
    Assessing Current Vulnerability
    Outlining a Disaster Plan
    Determining Future Needs
Developing Recommendations for Improved Disaster Control
Reporting to the Study Team
Appendix VIII-1: Sequence of Tasks for the Disaster Control Study
    VIII-2: Sample Outline for Disaster Control Task Force Report

IX. **Phase II: Task Force E - Preservation Resources** Page 98
Introduction
    Problems in Identifying Preservation Resources
    Assumptions Underlying the Investigation of Resources
Organizing the Investigation of Resources
Steps in the Investigation
    Defining the Universe
    The Search
    Organizing the Findings and Analyzing Usefulness
Developing Recommendations
Reporting to the Study Team
Appendix IX-1: Sequence of Tasks for the Resources Investigation
    IX-2: Checklist of Potential Preservation Resources
    IX-3: Sample Outline for Resources Task Force Report

X. **Phase III: Planning for Preservation** Page 108
Transition to Phase III
    Concluding Phase II
    Preparing for Phase III
Analyzing and Synthesizing Phase II Data
    Director's Review
    Implementation Strategy
Preparing the Final Report
    Content and Format
    Final Review
Disseminating the Results

IX-A. **Phase II: Task Force F - Staff and User Education** Page IX-A 1
Introduction to Education-Related Issues
    Problems in Studying Educational Activities
    Assumptions Underlying the Investigation of Educational Issues
Organizing the Investigation
Steps in the Investigation
    Identifying Appropriate Training Mechanisms and Target Groups
    Assessing the Local Situation
    Analyzing and Organizing Data
Developing Recommendations
Reporting to the Study Team
Appendix IXA-1: Sequence of Tasks for Study of Preservation Education
    IXA-2: Checklist of Formats and Forums for Educating Library Staff and Users
    IXA-3: Guide for Surveying or Interviewing
    IXA-4: Sample Outline for Staff and User Education Task Force Report

IX-B. **Phase II: Task Force G - Interinstitutional Cooperation** Page IX-B 1
Introduction to Interinstitutional Cooperative Issues
    Definition of Interinstitutional Cooperation
    Examples of Cooperative Organizations
    Problems in the Investigation of Interinstitutional Cooperation
    Assumptions Underlying the Investigation of Interinstitutional Cooperation
Organizing the Investigation
Steps in the Investigation
Developing Recommendations for Cooperative Activity
Reporting to the Study Team
Sequence of Tasks
Checklist of Cooperative Activities in Preservation
Sample Survey Form
Sample Outline of Report to Study Team
"Perspectives on Preservation," National Preservation News
"Preservation Initiatives in the States," National Preservation News

* * *

EDITOR'S NOTE: These two chapters have been produced under a supplemental grant from the National Endowment for the Humanities. Two Collaborative Research-Writers worked with the OMS in their preparation.

The chapter on **Staff and User Education** (IX-A) was written by Jan Merrill-Oldham, head of the Preservation Department at the University of Connecticut Libraries, Storrs. She was an OMS Collaborative Research-Writer in 1985, producing SPEC Kit #113, Preservation Education. Jan is active in the Preservation of Library Materials Section of the American Library Association (ALA) and a consultant to the ARL Preservation Committee. She was instrumental in planning a preservation education conference at the 1987 ALA Annual Meeting.

The chapter on **Interinstitutional Cooperation** (IX-B) was written by Carolyn Harris, head of the Preservation Department at Columbia University Libraries. She is active in the Research Libraries Group Preservation Committee, and in 1984-85 was a Council on Library Resources intern at the University of Georgia. Carolyn also is a graduate of the OMS Consultant Training Program, and has served as an OMS preservation consultant at the University of Tennessee and the University of Missouri-Columbia.

CHAPTER I: INTRODUCTION TO THE PRESERVATION PLANNING PROGRAM

Allow me to call the attention of your readers to the present state of that wretched compound called Paper...a century more will not witness the volumes printed within the last twenty years.

- John Murray, Gentleman's Magazine, July 1823

GREAT BOOKS FAIL THE TEST OF TIME
Washington. A literary catastrophe that no one can stop is decimating the nation's best libraries as millions of 19th and 20th century books destroy themselves because of acids used in making their paper.

- Frank Greve, Philadelphia Inquirer, July 29, 1977

The preservation of library materials is a matter of great importance. Large portions of many of the country's oldest and most distinctive collections are literally crumbling on the shelves...means must be found to provide support for what is literally the preservation of our cultural heritage.

- A Report from Fifteen University Presidents
Research Universities and the National Interest
December 1977

That millions of books and magazines are disintegrating is an ecological fact of enormous public consequence. Preservation -- and the training in skills it requires -- may indeed be the most important and least risky investment the federal government can make in our national culture.

- Report of the Commission on the Humanities
The Humanities in American Life, 1980

RATIONALE AND BACKGROUND

John Murray's 1823 plea was a voice crying in the wilderness. He was followed, in every generation, by a few who recognized early signs of the cultural castrophe that now engulfs the nation's library collections. But it is only in our own time that -- with the evidence grown voluminous and inescapable -- the library profession and the scholarly world it serves have begun to respond to the urgent need for preservation programs.

The rapid deterioration of most book papers used since Murray's day is only the most visible of the many factors which combine to threaten the survival of all forms of record materials. Storage conditions, environmental fluctuations, processing practices, pollution, wear and tear, all compound the rate of decay which arises naturally from the inherent instability of virtually all materials -- paper, cloth, leather, glue, film, tape, disk, even metal and stone.

Decay is an essential part of the natural cycle; there is nothing new about this. We have known for thousands of years that the only constant is change, that kingdoms and monuments, thought forms and civilizations, rise and fall, flourish and vanish. What is new, to us, is the realization that our civilization too is threatened, not just by social or political upheaval but by the physical disintegration of the structures and records through which it is expressed. New too is the frightening acceleration in the rate of that deterioration: after centuries of existence the Parthenon is rapidly eroding; medieval leather bindings now age more in ten years than they did in their first hundred; the life expectancy of most contemporary record materials -- books, photographs, recordings -- is shorter than our own.

For the research library -- traditional preserver of society's collective knowledge, wisdom and experience -- the implications are serious indeed. To what purpose the acquisition, cataloging and maintenance of vast collections if the materials themselves will rot in half a lifetime? There are few hard facts, but informed estimates and a few sampling surveys clearly suggest that twenty-five to fifty percent of the volumes in major research collections today are already so fragile that one more use may cause substantial loss of text.

The rate at which new materials are joining this doomed group is even more distressing: a 1957 study by W.J. Barrow, funded by the Council on Library Resources, showed that 97% of sample book papers manufactured in the first forty years of this century had a useful life of no more than fifty years, with half of those likely to last less than twenty-five years if used at all. The arithmetic is complicated but the implications are clear: prompt action is essential if the paper records of yesterday and today are to be available for tomorrow's readers.

The Association of Research Libraries has been actively concerned with the problem of preservation for many years. Following the publication of the first Barrow studies, the Association in 1960 established a Committee on the Preservation of Research Library Materials, which sponsored several important studies. Its September 1964 report, "The Preservation of Deteriorating Books: an Examination of the Problem with Recommendations for a Solution", prepared by Gordon Williams, was followed in 1972 by "Preparation of Detailed Specifications for a National System for the Preservation of Library Materials", by Warren J. Haas with support from a U.S. Office of Education grant. Together these reports served to establish the nature of the problem in its broad cultural and national context, and focused attention on a variety of cooperative approaches to its solution.

Unfortunately, development of a national approach has been painfully slow, due to the complex technical nature of the problem and the necessary preoccupation of the profession with severe financial problems, dramatic changes in bibliographic control, and the advent of networking. Furthermore, it became evident that a national program could best be established on a broad foundation of local programs, but knowledge about how to set up such programs was almost non-existent. A few libraries took the lead in developing local programs, generously sharing their experiences with others, and by the end of the 1970's a small but valuable body of information existed - some in published form - which could assist other institutions in establishing programs.

Procedural and technical information is essential, but is not in itself enough to ensure the logical and efficient creation of a new program suited to the needs of a particular library. Many organizational and administrative questions are involved, and methods suitable in one place must be adapted to the conditions, resources and constraints of another. The value of a formal planning study as a managerial tool in a rapidly changing environment has been increasingly recognized, and is proving especially useful in the preservation area where most libraries have little previous experience on which to build.

To assist individual libraries in their efforts to cope with local preservation problems, the Office of Management Studies of the Association of Research Libraries developed the Preservation Planning Program, which incorporates technical and procedural information about preservation in a structured planning process leading to the phased development of a comprehensive preservation program.

THE PRESERVATION PLANNING PROGRAM

The Preservation Planning Program provides a strategy for identifying and responding to preservation needs through a process of "assisted self-study". The program is based on three assumptions:

> 1) that the library staff is itself in the best position to identify needs, requiring only some guidance to accomplish the task efficiently and systematically;
>
> 2) that the critical preservation needs of the collections have only begun to be understood, and that major changes in procedures, policies and organization may be required over a period of several years to develop the library's ability to meet those needs;
>
> 3) that the field of preservation is in a period of rapid change, and effective libraries not only accept change but promote it by anticipating future needs and developing means of meeting those needs.

The formal Program has three characteristics which relate to these assumptions:

> 1) the Preservation Planning Program Manual, with its companion Resource Notebook, provides a systematic approach to collecting information on the character and dimensions of local preservation problems as a first step toward establishing programs to correct them;
>
> 2) participation in the study process promotes staff learning and professional development, creating a broad understanding within the library staff of the nature and importance of preservation, and enhancing the ability of the library to respond to preservation needs on a continuing basis;
>
> 3) those who elect to participate in the formal program through the Office of Management Studies receive extensive consultation, training and assistance, which promotes the timely, efficient execution of what can be a complex and demanding activity, and enhances access to up-to-date technical and procedural developments.

The Preservation Planning Program draws upon several programs previously developed by the Office of Management Studies, including: The Management Review and Analysis Program, the Collection Analysis Project, and the Planning Program for Small Academic Libraries. **Development of the Preservation Planning Program was supported by a grant from the National Endowment for the Humanities, which made possible extensive testing of the methodology in three representative research libraries.**

OBJECTIVES

Specific objectives of the preservation planning study lead toward the ultimate goal of enhancing the library's ability to preserve materials for present and future generations.

1) To create within the library a positive approach to preservation, which focuses on identifying present and probable future needs and promoting constructive responses to them.

2) To raise the institution's awareness of the library's responsibilities for preservation activities and how they are affected by and contribute to the instructional, research and service programs of the library.

3) To increase the library staff's knowledge of current developments, emerging opportunities, and technical resources for improving the preservation capabilities of the library.

4) To increase the library's organizational ability to deal more effectively with the complex issues of preservation, which cut across traditional administrative and functional boundaries.

These objectives are process-oriented. As a planning process, the Preservation Planning Program does not by itself solve problems or create new preservation activities. Rather the Program initiates a process of recognizing and responding to preservation needs that should continue long after the study is completed.

TECHNIQUES

The study process used in the Preservation Planning Program employs investigative and analytical techniques that draw upon the strengths of the library and help to avoid common pitfalls in studying the preservation issue. The group study process provides:

- high level of knowledge and information: a broad knowledge base can be tapped by involving many people and by encouraging individuals to contribute;

- variety of approaches to problems: group discussion and sharing of ideas generate a large number of options and alternatives for solving problems;

- clear comprehension of issues and decisions: direct involvement in the analysis improves the flow of information, reduces the need to explain issues in a second or third-hand fashion, provides an appreciation of different perspectives and improves understanding of issues;

- sense of "ownership" of ideas, problems and solutions: direct involvement in seeking solutions to problems produces a sense of responsibility for resolving them and motivates individuals to work harder to produce concrete, acceptable results.

Good information is essential for intelligent planning and sound decision-making, and the Program provides a structure for identifying and gathering many kinds of information. Historical records, current facts and figures, as well as forecasts and projections for the future are all important to the analyses. Sources of information include internal and external documents, professional literature and knowledgable individuals within and outside the institution. Information is gathered through reviews of documents and the literature, observations of current practices, interviews with individuals or groups, and through surveys.

The Program's systematic approach to analysis includes a series of interrelated steps to collect and organize data and interpret it in developing specific recommendations.

1) Data-gathering. The group sets information goals and collects information about collection conditions and present preservation activities.

2) Analysis. The group assesses the data and evaluates the library's current level of preservation program development in comparison with current and anticipated preservation needs. In this process both strengths and weaknesses are identified, along with major areas in which development is most feasible and/or worthwhile.

3) Idea generation. The group outlines and develops solutions to problems that have been identified, including identifying improvements that will build upon current strengths as well as those that will require new resources.

SEQUENCE OF STUDY ACTIVITIES

The preservation self-study is divided into three major phases, each employing the three analytical steps. The first phase, covered in Chapters III and IV of this manual, introduces basic preservation issues and pulls together background information about the library as a context for the study of its preservation situation. This includes:

1) a review of the library's goals and objectives, concentrating on the preservation requirements implicit in the library's collection and service responsibilities;

2) the historical development of the collections from a physical point of view, including the physical dimensions and major components, as well as any major policies, events, moves or catastrophes which have had significant effect on the condition of the materials;

3) institutional and external pressures affecting preservation, briefly exploring current or expected financial constraints, trends in publishing, scholarship and the library profession, and developments in the field of preservation.

This introductory analysis orients study participants to the basic issues and establishes a framework for the investigation of specific needs which follows.

The central phase of the Preservation Planning Program involves a review of five major areas: the physical environment, the present condition of the collections, the organization and effectiveness of existing preservation activities, disaster control, and resources for an expanded preservation program. This phase, covered in Chapters V-IX, enables the library to pull together and analyze a large body of factual information upon which the decision-making and planning of the final phase can be based.

The final phase (Chapter X), turns from information-gathering and analysis to concrete planning. After weighing potential alternatives, the study team prepares recommendations and develops a strategy for implementing those recommendations over a several-year period. The study concludes with presentation to the library director of a report describing preservation needs, identifying possibilities, and recommending a series of changes and/or new activities.

WHO IS INVOLVED

LIBRARY STAFF - Study Team and Task Forces

One study team and up to five task forces made up of library staff members carry out the planning study. The study team is the critical group, responsible for the overall conduct of the project. It prepares the background study, coordinates and manages the work of the task forces, and produces the final report with recommendations for change. The task forces conduct the more specific investigations in the second phase, and report their findings to the study team. An administrative librarian serves as project coordinator, responsible for overseeing the mechanics of the study process (scheduling, securing meeting space, duplicating, etc). This person may also serve as chair of the study team, and should have ready access to clerical assistance.

LIBRARY DIRECTOR

After making the decision to undertake the Preservation Planning Program, the library director continues to play a vital part throughout the project, and his/her commitment and support are essential. The study team keeps the director informed of progress and problems, and the director provides a perspective on potential problems and opportunities of which the team might not otherwise be aware.

OFFICE OF MANAGEMENT STUDIES

The Office provides several resources for use in carrying out the Preservation Planning Program. This MANUAL provides the procedural and conceptual framework. While each library will need to make some local adaptations, the procedures have been tested in a variety of situations and the manual should therefore enable the team to concentrate on the content of the study instead of spending a lot of time on project design.

As an essential companion to the self-study manual, the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK provides the team and task forces with a solid basis for evaluating existing practices and recommending improvements. Reports from other libraries which have completed the Program are also made available for background and comparison.

Finally, the Office offers direct assistance to the study team, through a series (generally three) of on-site consultation and training sessions. These sessions begin with orientation to the substantive issues of preservation, as well as to the process of the study itself. Subsequently the consultant assists with definition and resolution of problems and with detailed planning for each phase. The Office is available for interim consultations with the study team by telephone, and may offer substantive evaluation of the report and recommendations.

PROGRAM RESULTS

The Preservation Planning Program should result in an increased understanding of the issues related to preservation on the part of the entire library staff and administration, and its results can be used to educate those within the parent institution who influence library programs. Working documents and the final report will provide documentation that can be used for budget presentations, and as working guides for implementation of expanded preservation activities. Most importantly, the study will result in a series of specific recommended actions tailored to the actual preservation needs of the collections.

APPENDIX I: Outline of Study Activities

Preparation for the Planning Study

The Decision (**library director**)
- Review available documentation on PPP
- Discuss possible participation with OMS staff
- Consult with library staff
- Consult with officers of parent institution
- Make decision

Launching the Study (**director and study team chair**)
- Discuss timetable with OMS staff
- Acquire PPP study materials
- Select Study Team Chair
- Prepare written charge to Study Team
- Appoint Study Team
- Announce plans to staff
- Assemble resource materials (see Appendix I-2)
- Assemble environmental monitoring equipment (for Phase II - see Appendix V-3)

Phase I: Establishing the Study Framework

Introduction to issues and techniques (**study team and consultant**)
- Read PPP manual and introductory readings
- Consultant Visit #1: Preservation workshop and Phase I planning

Prepare Background Paper (**study team**)
- Identify information needs
- Gather data
- Analyze and outline paper
- Draft background paper, Part I

Organizing for Phase II (**study team**)
- Develop study assumptions and priorities
- Review progress
- Select study modules
- Prepare task force charges
- Outline Phase II timetable
- Draft background paper, Part II

Conclusion of Phase I (**study team and director**)
- Draft to Director for response and approval
- Select and appoint task force members
- Distribute background paper to task force members

Phase II: Determining Preservation Needs

- Orientation of Task Forces (**study team, task forces & consultant**)
  - Read PPP Manual, introductory readings, and Background paper
  - Consultant Visit #2: Workshop and task force planning

- Carry out task force investigations (task forces)
  - Identify information needs
  - Gather data
  - Analyze data and draft recommendations
  - (Study team meets regularly throughout Phase II to coordinate task force efforts)

Phase III: Planning the Preservation Program

- Transition from Phase II (**study team, task forces & consultant**)
  - Task forces present and discuss major findings
  - Task forces are discharged with thanks
  - Study team organizes Phase III work

- Final review and analysis (**study team**)
  - Study and integrate task force findings
  - Organize recommendations
  - Develop implementation strategy
  - Draft final report

- Conclusion of the Planning Program (**study team & director**)
  - Draft report sent to Director and key staff for comment
  - Revise and produce final report
  - Present report to Director and staff
  - Director responds; implementation begins

APPENDIX I-2: Resource Materials

In addition to the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK, a number of published materials should be assembled before the study is formally launched. Many will be found in the professional literature already within the library, but some may need to be acquired to build a basic preservation reference collection.

Materials to be assembled are those appearing as references in the bibliographies beginning the eleven sections of the RESOURCE NOTEBOOK. Items listed there in bold-face type are essential companions to the NOTEBOOK materials; the others are recommended as supplements which either provide greater detail or offer a different perspective. (Bibliographers will be sympathetic with the hazards involved in making such distinctions. What is essential to one may seem superflous or redundant to another.)

It may be convenient, for the duration of the study, to keep these works in a separate place to which study team and task force members have easy access. Multiple copies of those designated as introductory readings should be made available.

NOTE: The RESOURCE NOTEBOOK was compiled in the winter of 1981/82. Those using it in later years should be alert for recent publications which may supplement or supersede those listed.

CHAPTER II: PREPARATION FOR THE PLANNING STUDY

THE DECISION

The library director makes the decision to participate after consultation with appropriate staff, particularly those directly involved with the care and condition of the library's collections, and with appropriate officers of the parent institution.

Factors in a decision to undertake the Preservation Planning Program fall into four basic groups:

1) One set of reasons relates to the dimension, complexity and difficulty of the problems.

> The preservation of a library's collections and/or of the information contained within its collections is dependent on a broad spectrum of environmental conditions, processing and storage procedures, binding and repair practices, use patterns, replacement policies, and a complex set of technical problems related to the physical components of the materials themselves. Because preservation activities, to be effective, must be integrated with all other library activities, planning for them should be done in a library-wide context, bringing a substantial body of relatively unfamiliar technical information to bear on a wide range of policy and procedural decisions.

2) Another set of reasons revolves around developing a broad staff understanding of the issues and a commitment to act on changes.

> Involving many in the data-gathering and analysis can open their eyes to the condition of the collections and to the effects of various library practices on their survival. Experience suggests that people become converts to preservation very quickly, and can respond creatively when provided basic technical information in a supportive administrative environment.

3) A third set of reasons concerns the intent of the library administration to shift program emphases in order to respond to urgent preservation needs.

> Although a number of improvements can be made simply by altering current practices without spending more money, the development of a comprehensive preservation program will require increasing the proportion of the library budget devoted to preservation, through obtaining additional funds and/or by reallocating existing resources. A decision to undertake the Preservation Planning Program signals to the library staff that the administration regards preservation as essential to the fulfillment of the library's chief responsibility -- to make and keep information available.

4) Finally, participation in the formal Preservation Planning Program enables a library to accomplish quickly what it might do on its own over a much longer period.

> The psychological effect of launching a major project with clearly stated short-term goals can generate energy and momentum difficult to match in the normal planning activities that accompany all library operations. The discipline of an externally-imposed time-table, punctuated by scheduled visits from an outside consultant, encourages the prompt completion of work despite the pressure of daily responsibilities.

FORMING THE STUDY TEAM

The importance of the study team cannot be overemphasized, since it holds ultimate responsibility for conduct of the study, and its members determine the quality of the investigations and the nature and effectiveness of the recommendations.

TEAM MEMBERS

Selection of study team members should be done with care, and ought to focus on providing a wide range of talents, knowledge and skills within the team. Credibility is another important factor: the team will need cooperation from many staff members in carrying out the study, and acceptance of its findings and recommendations will depend in part on the degree of respect and support the staff has for its members.

The group should be large enough to provide adequate talent and a pool of information and ideas. If it is "too" large, however, it may become inefficient. A team of five to seven is generally most effective, with many additional staff members contributing through formal service on task forces and informal assistance with specific portions of the investigations.

The team should be appointed by the library director. To the extent possible, selection should be made on the basis of quality, that is, potential for contributing to the study, rather than on availability. All concerned, and especially the supervisors and immediate colleagues of team members, should be made aware that appointment to the team will take each member away from normal responsibilities for a significant portion of time during the study process. Temporary reassignments may be appropriate in some areas to maintain daily operations.

Among the factors to be considered in selecting team members:

- Members should possess a good understanding of the functional operations and organization of the library. The make-up of the team should reflect the fact that preservation is a system-wide concern, with important implications for all units and all levels of the professional and supporting staff.

- They should have analytical ability - that is, be able to distinguish the important elements of issues, to perceive relationships among parts, and to understand how various elements contribute to the whole.

- They should have the interpersonal skills needed to interact effectively with other team members, and with the rest of the staff during the data-gathering, interviewing, and observations of procedures that form the heart of the investigations.

- The team should include some members familiar with the library's current preservation activities (processing, binding, maintenance, replacement, etc.), but knowledge of preservation is not a requirement for all team members; indeed, much can be gained by involving those with little previous exposure. If any staff members have developed a special interest and expertise in aspects of preservation through previous experience or training, their knowledge should also be available to the team, either through regular membership or through appointment as a resource person or consultant.

- Some writing skill is essential. Each member need not be an expert writer, but all will share in drafting working papers and reports, and at least one person should be a proficient writer to ensure a readable, clear and concise final report.

These talents, abilities and expertise should all be represented on the team, but the team approach presumes that every member need not be expert in every area. Because considerable personal and professional development is likely to take place as a result of participation in the study, selection can be made partly on the basis of potential for development and openness to change.

THE CHAIRPERSON

The team chair, appointed by the director, should possess good leadership and coordinating abilities, be able to remain relatively cool under pressure, and have the confidence of and access to senior members of the staff. The chair is the principal catalyst and major integrating force within the study, and is responsible for ensuring that the Study Team performs efficiently and effectively. The chair should also have a keen interest in the library's preservation problems, but need not have been directly involved with them before the study.

Considerable administrative support will be necessary for the efficient conduct of the study: typing, duplicating and distributing materials; scheduling meeting times and places; arranging accomodations and local transportation for the consultant. These responsibilities may be assigned to the chair (with appropriate clerical support), or another staff member may be appointed to serve as project coordinator. In the latter case, chair and coordinator must work closely and easily together.

The director and chair should spend some time discussing the duties of the position, establishing ground rules (ie, how time conflicts are to be resolved, how closely the director is to be involved), and achieving a firm understanding of goals and expectations.

THE CHARGE

A charge should be prepared to guide the team's efforts. The charge creates a framework for the study and establishes the team's authority. It should spell out the goals and scope of the study, indicate the level of importance the administration attaches to it, and include some expression of commitment to act on the study results. The charge should be concise and clear, covering the following elements:

- rationale for the study
- major issues to be investigated
- roles and authority of participants
- time and product expectations
- commitment to respond to recommendations

INFORMING THE STAFF

The Preservation Planning Program will affect most members of the staff and, sooner or later, may influence the way work is done in almost every unit. Broad staff awareness and understanding of plans and goals is therefore essential from the outset, to encourage full cooperation in the data-gathering stages and acceptance of the final results.

The decision to participate should be promptly communicated to the entire staff, both by written announcement and through a staff meeting or series of meetings at which the goals and implications can be fully discussed. The written announcement should include the major points in the charge to the study team, if not the complete text.

Staff should also be kept informed as the study progresses. Appointments to the team and task forces should be announced; a schedule of study activities may be published or posted; the chair may make informal progress reports at staff or council meetings. The team should expect that some staff members may be irritated by "all the fuss", or feel anxious that potential changes might affect their own interests or priorities adversely. However, virtually everyone will be in favor of improving the library's ability to care for its collections. In fact, the team may be pleasantly surprised by the interest and enthusiasm it will encounter. Team members' attitudes as they carry out the work can do much to transform that enthusiasm into a powerful tool for enhancing the library's preservation capabilities at all levels.

CHAPTER III: PHASE I - ESTABLISHING THE STUDY FRAMEWORK

PRESERVATION STUDY MODEL

Because the preservation problem results from the interaction of many different factors, its solution must be a multifaceted one. A model can be useful for identifying these factors and ensuring a comprehensive approach. The model presented here establishes a framework in which causal factors are grouped, relationships are delineated, and potential responses are set in context. It may promote a common understanding within the study team by clarifying the boundaries of the issues to be studied. It is suggestive, not definitive, offering a point of view and a point of departure from which specific topics may be addressed in logical relation to one another.

THE PROBLEM

The most simple statement of the preservation problem might be phrased: **libraries are responsible for the care of materials which are physically endangered.** Within this simple statement lie several complexities:

- the materials to be cared for are of many types, composed of many ingredients;

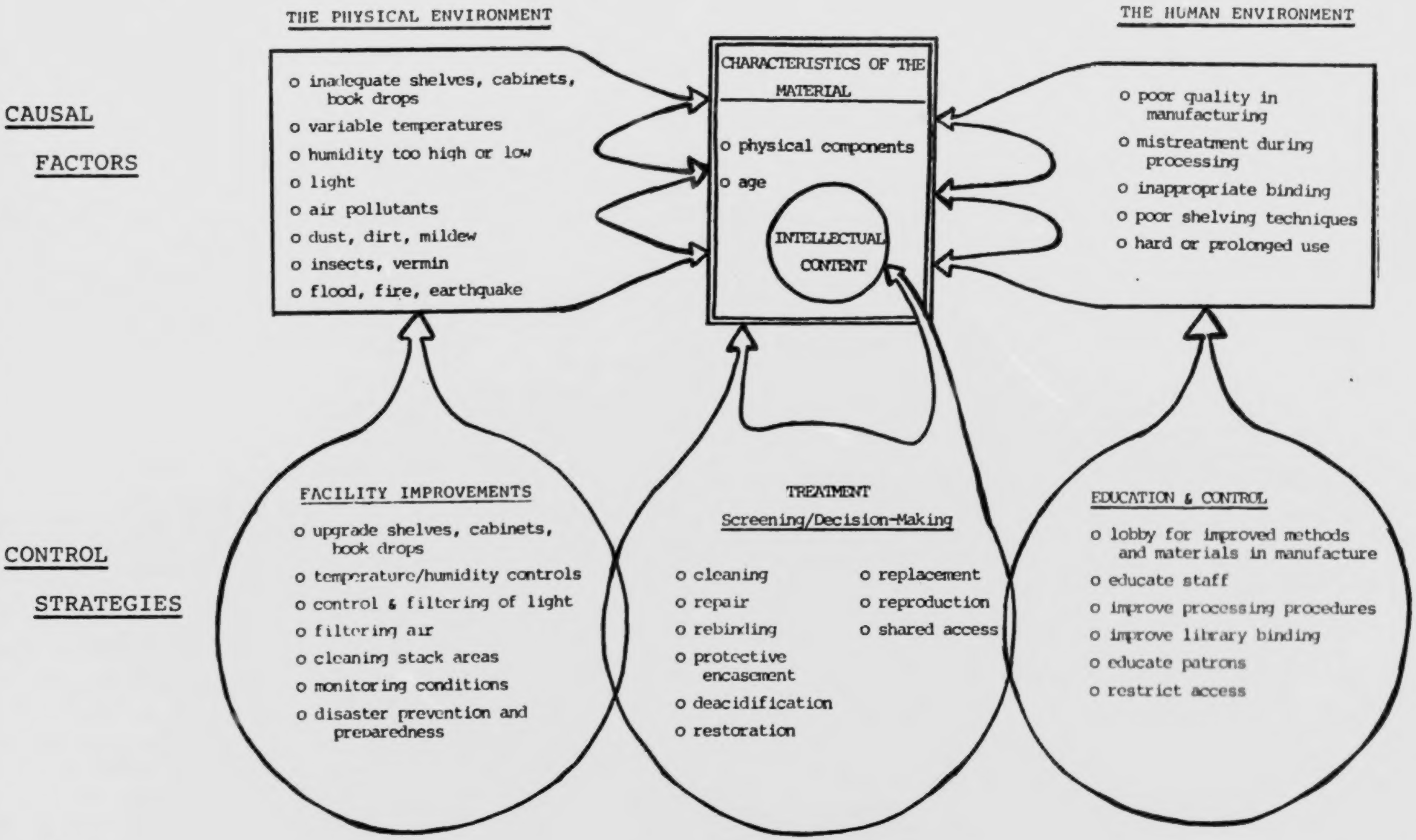
- the physical dangers come from many sources, both within and outside the materials;

- the nature of the responsibility depends upon the particular *raison d'etre* of the library and the needs of the user group, both now and in the predictable future;

- "care" is a little word, with potentially limitless implications.

In order to understand and organize these complexities they must be identified and sorted, so that relationships among groups can be recognized and generalizations made which, applied to the specifics of a single institution, can lead to reasonable conclusions and appropriate action. Sorting produces a set of factors which cause the problem, and strategies which may control those factors. The accompanying diagram illustrates some of the relationships to be discussed. Like the text it is suggestive rather than definitive, since a complete illustration would require at least three dimensions, permuted indefinitely over time!

PRESERVATION STUDY MODEL



CAUSAL FACTORS

There are three interdependent sets of causal factors contributing to the preservation problem. The first of these arise from the characteristics of the materials themselves, whose physical and chemical natures are, as a general rule, inherently unstable. The rate of natural deterioration varies widely, from early papers that show little aging after several hundred years to some modern papers that yellow and fade in ten, from glass plate negatives that may break but seldom fade to polyester films that fade but seldom break. Each type of material has its own life cycle, its own pattern of responding to and reacting with its environment over time, which is established by the basic molecular character of its components and by the mechanics of its physical structure.

Directly related to the internal characteristics affecting the life of materials are the external factors which constitute the basic physical environment. The temperature, humidity, light and chemical components of the air surrounding any object, and the structures which contain or support it, all influence both the rate and type of deterioration of that object. Changes in temperature and light - two different forms of energy - control the speed at which chemical reactions take place; the chemical nature of the materials themselves and the substances surrounding them define the type of reaction:

- heat may cause leather to stiffen while plastics grow limp;
- light breaks down the molecular bonds within certain substances, changing pigments, shortening cellulose fibers, promoting the slow burn of oxidation;
- airborne molecules of water, carbon dioxide, sulfur dioxide, even oxygen, may combine with molecules within the object, rusting metal, dissolving film emulsions, "burning" holes in paper;
- mat boards, folders or boxes of unstable materials may react with the items they are supposed to protect;
- inadequate cabinets or shelving may promote uneven pressures that warp, twist or break.

The third set of causal factors, also external to the object, is found in the nature of handling and use -- binding or packaging techniques, shelving procedures, processing and circulation practices, and the way staff and patrons handle materials. Some effects are chemical: body oils, even from clean fingers, may cause stains; inks or adhesives used in marking may react with the object. But most effects are physical - that is, they affect the external structure of an object rather than its chemical nature: bindings may be cracked, paper and film torn, recordings scratched or broken, tapes buckled or stretched or even erased. The susceptibility of materials to this kind of damage depends upon both internal and environmental factors. Paper embrittled through chemical reaction will shatter at a touch; a tight adhesive binding will split when opened under hot, dry conditions; film softened and stretched through prolonged exposure to a projection lamp may be wound too tightly, cinching or splitting as it cools and contracts.

The interrelationships among all three sets of factors are complex, and the evidence that nothing is immortal can lead to an attitude of hopeless helplessness. However, an understanding of the chemical and physical causes of deterioration and of the influence which the material and human environments have on the natural aging processes can lead to methods of care which significantly extend the life of library materials.

CONTROL STRATEGIES

Like the causes, the strategies for controlling the preservation problem fall into three related groups. In response to the physical and chemical characteristics of the materials, there are a variety of treatment possibilities which will halt or at least retard further deterioration and may undo some damage. These include cleaning, minor repair, binding and rebinding, deacidification, protective wrapping, boxing or encapsulation, and major conservation treatment. In some cases of severe deterioration, physical treatment may be impractical or economically unjustifiable even though the intellectual content of the material warrants providing continued access. Several possibilities exist for preserving the content of such items, through replacement, reproduction in a variety of formats and media, or through securing access to duplicates held elsewhere. Decision-making and provision of treatment are individual, item-by-item functions. Though guidelines and treatment routines for categories of materials may lend efficiency to the operation, the unit costs for physical treatment, in both time and materials, are high. The development of mass deacidification procedures will make an important contribution to the stabilization of paper-based records, but will by no means control all the factors affecting the survival of library materials.

Unlike physical treatment, the other two sets of preservation strategies can have a beneficial effect on large numbers of materials at once. Changes in the physical environment can prolong the life of all materials stored and used within that space. Such changes might include improved temperature and humidity control, filtering of air and light sources, cleaning, improvement of shelf and cabinet arrangements, redesigning book return structures, and upgrading materials used for storage folders and boxes. Though the total cost for such major environmental improvements as air conditioning appears high, the unit cost for prolonging the life of each affected item is quite low. Given the accelerating rate of deterioration in an uncontrolled environment, together with the high unit time involved in physical treatment, these strategies offer some assurance that many materials will not be totally lost before individual attention can be given to them.

Finally, there are several ways of controlling the human potential for damaging materials, through lobbying for better methods and materials in the manufacture of books and other media, staff education and training in proper handling of materials, improvement of library binding and physical processing procedures, patron awareness programs, and restricting access to some materials.

The integration of these strategies into a comprehensive program adapted to the particular conditions and objectives of the library is the goal of the Preservation Planning Program. As this model demonstrates, the causes of the preservation problem are many, and interact with each other in a variety of ways. Solutions, therefore, must be built into a mutually reinforcing system, early phases should be designed to accomplish the most good with the least effort, and individual program elements should be planned in the context of the whole.

STUDY TECHNIQUES

DATA-GATHERING

In social science terms, the planning study uses two types of information: "hard", or factual, data such as the cost of binding; and "soft" data such as attitudes towards materials and individual or collective perceptions of the library's goals and responsibilities to materials and patrons.

Each phase of the investigation involves identifying what information is needed, determining what is available and how to acquire it, and deciding who gathers and analyzes it. Information requirements should be identified by both the type and amount of detail required to understand the topic being investigated. Analyses of some topics requires extensive statistical data, while others need only limited cost figures or summary descriptions.

Collecting study data can be as simple as sharing information in a group discussion, or as complex as a scientific research project involving hypotheses, instruments and computer analyses. Despite this great range, there are only four basic ways to collect data:

1. **OBSERVATION:** Looking at the shelves, watching what people do when processing materials, making bindery decisions, shelving; watching patrons using and returning materials, etc. Observation is a most useful data-gathering technique when concrete information on individual activity or behavior is needed. It is most commonly associated with work measurement and work flow planning, and is of particular value for preservation planning because so many potentially harmful activities are considered so mundane that they have become "invisible". The advantages and disadvantages include:

Advantages	Disadvantages
- provides data unclouded by participant interpretation	- limited to activities that are observable
- allows detailed examination of specific activities	- requires careful determination of data needed
- collects information without cumbersome procedures	- staff may resent or resist "surveillance"

2. **READING:** This falls into two categories. 1) Studying the professional literature to learn about preservation techniques and procedures as a basis for comparison with local activities. 2) Following the internal "document trail" of reports, charts, statistics and memos, to discover what has been done, or is thought to be done. Formal systems, decisions and policies are normally recorded in some fashion, and historical events that served to shape present practices can often be traced in documents. Using this approach to gathering information has the following advantages and disadvantages:

Advantages	Disadvantages
- often readily available	- may be voluminous, hard to organize and digest
- provides concrete evidence	- may be out of date
- offers point of departure for other investigations	

3. **INTERVIEWS:** Questioning key people individually is well suited to collecting information about what is really being done in the preservation area, particularly since so many preservation activities are not formally named or recognized as such. Interview guides should be prepared to ensure a systematic approach and compatability of information, and summaries of results should be provided to interviewees, both as a courtesy and to check the accuracy of the report. Advantages and disadvantages include:

Advantages	Disadvantages
- dialogue can result in more complete and precise information	- time constraints
- can build on, clarify or correct data collected elsewhere	- data may not be consistent or comparable
- provides wide range of staff input	- requires interviewing skills
	- may build unrealistic expectations among interviewees

4. **SURVEY:** Written questionnaires and survey instruments can be used to collect comparative data about environmental factors, binding and repair policies and practices, the physical condition of materials, staff training practices, and other such factual data. They are particularly useful for developing systematic information about units and collections which are either organizationally or geographically scattered. Advantages and disadvantages include:

Advantages	Disadvantages
- secures much data quickly	- takes staff time to fill out
- allows compilation of data that can be compared over time	- difficult to design a good questionnaire

PLANNING AND PROBLEM-SOLVING METHODS

The appendices to this chapter present several techniques for planning and problem-solving. The study team and task forces will find the action-planning worksheet (Appendix III-1) useful for organizing their work. The brainstorming technique (Appendix III-2) should be valuable when considering issues, analyzing problems and seeking solutions. The force-field and cost/benefit analyses (Appendices III-3 & III-4) can be helpful in understanding complex problems and developing solutions. The ranking procedure (Appendix III-5), with its grid approach to analyzing the impact and feasibility of potential activities, is an effective tool for deciding upon the nature and priority of recommendations.

APPORTIONING THE WORK

The study team and task forces may carry out some tasks as a group; some may be assigned to sub-groups, which may include people outside the team or task force; some can best be performed by individuals. For example, reading and summarizing documents, interviewing, and observing can be done effectively by individuals; designing questionnaires and compiling responses are often done more efficiently by small groups; and determining overall investigative strategies, exploring major issues and evaluating masses of information are best done by the whole group.

THE THREE STUDY PHASES

The three phases of the study form a progression in which each element builds on the preceding ones. The process begins by scanning many issues in a relatively superficial way, establishing a context within which certain topics can be examined in depth. This background study allows for an initial examination of developments and trends, both internal and external, which affect the library's ability to preserve its collections, and leads to the development of planning assumptions and priorities which will shape the second phase.

Phase II is the heart of the investigation, aimed at identifying and documenting the library's preservation needs and the resources that might be employed in meeting them. Five major areas are normally studied: the environment, the physical condition of the collections, operational policies and practices, prevention of and preparation for potential disasters, and the library's ability to make use of internal and external preservation resources. The task forces which carry out these investigations also develop tentative recommendations based on their findings, which serve to guide the study team as it integrates all the findings during the third phase.

In the third phase the study team synthesizes the information provided by the task forces in order to define opportunities to improve the condition of the collections, to identify ways of improving current preservation practices, and to develop strategies for adding or expanding programs to meet the needs which have been identified. The team then develops an implementation plan which places potential changes in a sequence reflecting the library's goals, resources and the constraints - physical or economic - under which it must operate.

The final report is the culmination of the Preservation Planning Program, but it is also a prelude to the changes that are to take place. It presents the study findings, describing present conditions, enumerating the resources available for improving them, and setting forth the recommended implementation plan. The purpose of the report is to present a complete portrait of the library's current situation and its most significant preservation needs and opportunities in a clear and convincing way, so that institutional officials can take appropriate action to respond to those needs.

PHASE I BEGINS

The first phase of the Preservation Planning Program begins formally with the appointment of the study team. In an introductory meeting the chair and team members should review the charge and discuss the general nature of the project. All members should be made aware of the responsibilities and commitment of time involved in participation. Copies of the manual should be distributed, and arrangements made for circulating or otherwise making accessible the introductory readings. Team members should read the entire Manual prior to the consultant's first visit, so as to be familiar with the structure and sequence of study activities, and complete as many of the introductory readings as possible.

THE FIRST VISIT

During the first visit the consultant presents an introduction to the substantive issues of preservation, reviews in detail the techniques and procedures to be used in the study, and works with the team to develop specific plans for Phase I activities. The visit, of one or two days, will generally include the following:

- a meeting of the consultant, the library director and study team chair to review goals, expectations and scheduling

- a short workshop on preservation

- an orientation session devoted to reviewing the planning process and introducing study techniques, in the context of the preservation issues perceived by the director and team to be of most importance

- a planning session in which specific tasks for the conduct of the first phase are identified, organized and assigned

- one or more informal sessions, perhaps at meals, to enable the consultant to get acquainted with the team and other key staff members

- a brief tour to familiarize the consultant with physical arrangements in the library, particularly as these affect preservation activities

APPENDIX III-1: Action-Planning Worksheet

Detailed action planning is critical for the accomplishment of particular objectives within a specified time period. The sample below illustrates how a worksheet can be used to facilitate such planning, which includes:

1. Identify the specific tasks necessary to achieve the desired result or produce a particular product (report, manual, etc)
2. Identify the resources needed for each task.
3. Work backwards from the final deadline to establish a timetable for completion of each task.
4. Assign individuals or groups to each task.

Complex activities may require several subsidiary action plans, with intermediate products and deadlines leading to the final result. Careful analysis of requirements and coordinated timing promote efficiency and encourage the wise use of human and material resources. Such action planning makes clear **who** needs **what** to do **which** by **when**.

OBJECTIVE: To produce Part 1 of Background Paper

Responsibility	Tasks	Tools/Resources	Target dates
Study team	Identify info needs	PPP Manual, Chap IV	May 10 meeting
	Gather data		
Members A, B & C	Inst & pres history		
	Make appts.		May 11
	Interview X, Y & Z & request docs		May 12-13
	Review, need more?		May 15
	Locate, organize & highlight key pts		By May 23
Members D & E	External factors		
	Study pres lit	PPP Resource Notebk	
	Research trends	Current lib lit	
	Summarize key pts		By May 23
Study team	Present findings		May 23 meeting
	Discuss & analyze		
	Outline paper		
	Assign writing		
	Draft & circulate	Word processor	
Members A & B	Section 1		By May 30
Member C	Section 2		
Members D & E	Section 3		
All members	Review drafts		By June 3
Study team	Discuss & revise		June 3 meeting
Clerical asst	Input changes	Word processor	
	PRODUCT: Part 1 of Background Paper		**DEADLINE:** June 10

APPENDIX III-2: Brainstorming

Brainstorming is a useful device for generating new ideas, often used informally in a variety of planning and problem-solving situations. It can be even more effective when used formally. The approach was developed by Alex Osborn, and has since been expanded and modified through research and application in many situations.

The key to success in using this technique is to separate idea generation from idea evaluation, thus stimulating the creation of a rich pool of options. Experience indicates that a group will usually produce a larger number of high quality ideas if it follows a deliberate procedure such as that outlined below.

1. Select someone to lead the discussion and to list ideas on a blackboard or flip-chart.

2. Discuss briefly the need to be open-minded and non-evaluative in the first stage, agreeing that unusual, "far-out" ideas are acceptable.

3. Allow a few minutes for each member, individually, to list his/her ideas. In a problem-solving setting, the first round might focus on "factors contributing to the problem", with latter rounds looking at potential solutions, resources required, positive and negative consequences, etc..

4. List ideas in round-robin fashion: leader asks for one idea from each member, repeating the circle several times and then letting contributions flow randomly. Stretch the efforts of the group to ensure that all ideas are exhausted; do not stop at the first or second slump in the discussion.

5. Evaluate the ideas and come to a decision:

   - Organize ideas into several categories, to clarify issues, illuminate their interrelationships, and reduce the number.

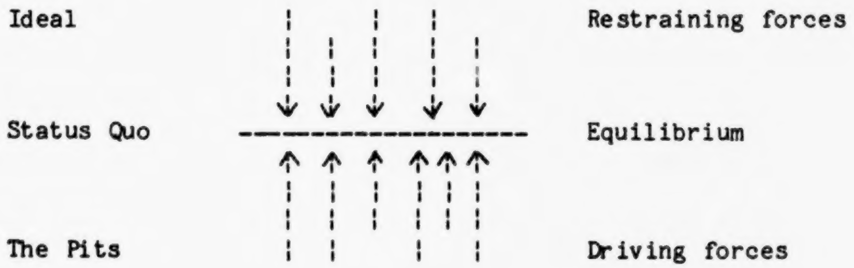
   - Select two or three which seem most significant or useful -- i.e., the most important factors in the situation, the most practical approaches to the problem, the resources that will help the most. This will often involve reworking or combining elements from the orginal listing of ideas.

   - Analyze each, weighing pros and cons, and select the one most likely to achieve the desired result.

(Groups unfamiliar with the technique, or new to working together, might begin with a fifteen-minute warm-up exercies: brainstorm a neutral issue, such as "uses of a piece of cheese" or "low-budget vacations", to stimulate creative thinking, openness and comfortable interaction.)

APPENDIX III-3: Force-Field Analysis

Originally developed by Kurt Lewin, force field analysis explains stable situations - such as problems persisting over time with little movement towards resolution - in terms of a balance between two fields of force. One field pushes to resolve the problem (driving force), and the other pushes to maintain the status quo (restraining force). Change can occur only if the balance is altered, either by strengthening the driving forces or weakening the restraining forces, or both.



For example, in considering the possibility of introducing a new preservation procedure in the library, there may be a number of factors that favor the change:

- improving the life-expectancy of materials
- cutting replacement costs
- increasing convenience to some people

At the same time, several factors may work against the change:

- lack of funds
- need for some people to learn new skills
- different perceptions of the value of the new procedure
- inconvenience to some people

Change may be accomplished by recognizing the factors and devising ways of strengthening the driving forces and reducing the restraining forces:

- locate new funding
- establish a training program to help resisters overcome their reluctance to change
- integrate the new preservation procedure with more popular improvements to increase motivation for change

A formal force field analysis involves the following steps:

1. Describe the present situation.
2. Specify the change desired.
3. List (brainstorm) all factors that may influence the situation.
4. Sort the list into driving and restraining forces.
5. Identify the two or three strongest forces on each side.
6. Develop ideas for strengthening the driving forces and/or reducing the restraining forces.

Change is most likely to begin at those points where stress and strain exist. Increased stress may lead to decreased satisfaction, which can become a motivation for change. Often, however, increasing a driving force may stimulate a corresponding increase in the opposing force. In such cases, strategies for reducing the restraining force will be more effective. There are also times when change can be effected by reversing the direction of a force, generally by introducing new information or resources which result in changed perceptions, interpretations or attitudes.

The major usefulness of this analytical technique lies in its structured approach to identifying and sorting the numerous, often unrelated factors which influence a situation. This can lead to creating a climate for change by building on the strengths of the organization while avoiding no-win conflict situations.

ANOTHER EXAMPLE

Desired change: control of light to reduce damage to materials

Driving forces	**Strategies for increasing them**
Deterioration of materials	
Cost of Repair/Replacement	Gather data to document costs
Loss of irreplaceable material	Assemble examples of light-damage
Preservation Officer's concern	Share concern (but be wary of coming on too strong and increasing resistance)

Restraining forces	**Strategies for decreasing them**
Administrative ignorance of effects	Inform/educate
Staff ignorance of light levels	Monitor
Cost of change	Find a cheap way; for example, timer switches will reduce light and save energy in the long run, so what at first appears as a restraining force can become a driving force.

APPENDIX III-4: Cost/Benefit Analysis

While many improvements may be made at little or no additional cost, some changes can be extremely expensive. The cost/benefit analysis provides a way of estimating whether the desired results of a change are worth the costs.

> Replacing or redesigning all book drops to incorporate gentle slopes and cushioned spring-operated collecting bins could be quite costly. If, however, the new design reduces damage to the materials and the consequent need for staff to repair or replace materials, the long-term benefit may be substantial:
>
> - cost savings may be realized through reduced loss of materials
> - reduced need for staff to perform repairs will free staff for other work

The major difficulty in cost/benefit analyses is that, while most costs can be calculated fairly accurately, benefits are often difficult to quantify. In the example above,

> - the costs of replacing book drops can be caluclated with accuracy; but savings from a reduction of materials lost due to book drop damage can only be estimated by monitoring the drops and assessing the damage over a period of time, and it may be very difficult to place a quantitative value on the reallocation of staff time.

In some instances, therefore, benefits must be described in qualitative terms, and a judgment made as to whether costs are justifiable despite the lack of complete quantitative information.

Cost/benefit analysis is a comparative process that enables an organization to weigh different approaches to performing a task and select the most effective one by balancing costs and benefits. Steps include:

1. Identify alternative approaches.

2. Determine the benefits of each, in quantitative terms if possible.

3. Calculate the costs of each.

4. Select the alternative which yields greatest benefits at a tolerable cost.

APPENDIX III-5: Ranking Recommendations and Establishing Priorities

Ranking recommendations is a way of determining which are most important and which will have the most significant impact. The process also serves to identify those which are most feasible and workable, given time and staff constraints. The total number of recommendations will usually be larger than the study team can handle within the immediate context of the self-study. Some issues will need to be dealt with after the self-study is completed. Limits and priorities must therefore be set.

Criteria for setting priorities include:

The potential impact of implementing the recommendation, or the extent to which it will improve the library's preservation activities. High impact recommendations are those that will result in dramatic improvement in the present condition of materials, substantial decrease in the rate of deterioration, substantial increase in efficiency of current preservation activities, or considerable savings of time, energy or money.

The difficulty entailed in implementing the recommendation. There are likely to be significant differences in the time, energy and resoures required to implement each recommendation. If it is not likely that a problem can be resolved because of the difficulty involved, the team should concentrate on other, more promising issues. For example, a space problem frequently means that the library needs to add to its existing facilities. If there is little possibility that the library will build in the near future, the study team will accomplish more by focussing its attention elsewhere.

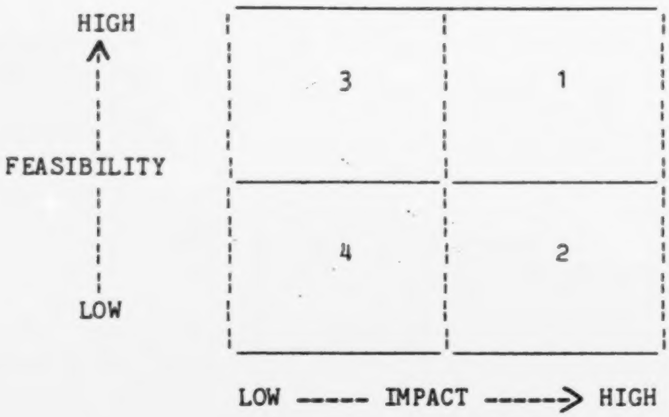
Urgency. An issue can be described as urgent if waiting to resolve it would cause further problems, or if waiting would mean bypassing an opportunity. After establishing the impact and feasibility of each, the team should give higher priority to those requiring immediate attention.

The amount of time required to implement a recommendation. When achievement of a recommended goal is likely to take more than a couple of months, it ought to be subdivided into short-term objectives for ease in action planning and monitoring progress.

> For example, one task force may recommend the development of a comprehensive preservation policy/procedures manual. The team may determine that this would have high impact on the library's performance, but would take many months to complete. It might therefore concentrate on developing a timetable and guidelines for constructing the manual, as a first step toward the final goal.

The first two criteria, impact and difficulty (or feasibility) are closely related and should be considered together. A useful device for ranking with these factors is to place recommendations on a grid:

GOAL SELECTION GRID



> In Box #1 go recommendations of high impact value that can be implemented with little difficulty. Box #2 contains high impact recommendations which will be difficult to carry out. Those which are not difficult but will have little impact go in Box #3, and those which are difficult and will have little impact go in Box #4.

This arrangement makes it apparent that some approaches deserve much more attention than others. Those in Box #1 probably deserve highest priority, since they can be easily accomplished and will have significant impact. Those in Box #4 can usually be disregarded, as achieving little while requiring great effort. Most of those in Box #3 can also be eliminated because they accomplish little, though some may be worthwhile because they are so easy to do. Box #2 items need careful consideration: despite their difficulty, many may deserve attention because of their high impact.

CHAPTER IV: PHASE I CONTINUES - BACKGROUND PAPER & PHASE II PLANS

The purpose of the background study is to provide, for the team and for members of the task forces, a general overview of the library's situation - history, goals, major functions, organization, external pressures, economic conditions - as these relate to preservation. It assumes that libraries, like other organizations, operate within a larger system, interacting with parent institutions, with higher education, with the publishing and information industries, with technological systems, with the library profession. Success - in preservation as in other areas - depends in large part on the ability to adapt to, influence and/or learn from these external systems, and this ability is based on understanding the relationships and recognizing constraints.

The background study, which results in a descriptive report and a set of resulting assumptions that will shape the central phase of the study, focuses on three related areas:

- the library in its institutional setting: preservation implications of collecting and service responsibilities;

- local historical developments which have influenced the physical condition of the collections;

- external factors affecting the library's preservation needs and resources;

The final section of the background paper includes a set of assumptions, based on the preliminary analysis of the situation, which will influence the remainder of the study; and a plan of action for the second phase. A description and sample outline for the background paper appear as an appendix to this chapter. The paper should not be lengthy; its purpose is to provide a broad overview and summary of the major factors that will influence the study process. The process of preparing it provides the team with preliminary practice in investigatory and analytical techniques, and lays the foundation for the additional information that will be gathered during the second phase.

CONDUCTING THE BACKGROUND STUDY

Several kinds of information need to be assembled and reviewed in order to develop the background paper:

1) descriptive information about the library and the institution, such as statements of mission and goals, collecting policies, characteristics of the user population, circulation figures and other measures of use, listings of major programs and services;

2) historical data illuminating those events and policies which have influenced the collections, which may be found in annual reports, institutional histories, through interviews with long-term staff members or delving into archives;

3) general background on such external factors as developments in higher education, publishing and the library profession as these relate to the condition and use of the collections, most of which will be found in the professional literature.

The team begins by listing the specific information it needs, and the probable sources for it. (The brainstorming technique, Appendix III-2, is a useful method for developing these lists.) Individuals or sub-groups should then be assigned to gather the information for presentation to the whole team, either as an oral summary of findings or as a written draft-for-discussion of one portion of the background paper. The first team discussion will often raise additional questions, leading to another brief round of data-gathering, after which the complete text of the first portion of the paper can be drafted.

Through this process, team members should develop a sense of the assumptions they need to take into account in planning the next phase of the study. The team needs to spell out such assumptions to be certain that they are in touch with current possibilities and limitations in the situation. For example, the historical review may indicate that the past pattern of financial support for the care of rare books cannot be assumed for the future. The review of major programs may suggest that the basic commitment of the institution to historical and humanistic studies, with their heavy reliance on retrospective materials, will be maintained in the future. The financial review may suggest a prolonged period of retrenchment.

Regardless of the issues, every institution operates on the basis of assumptions about present direction and future developments. Their articulation promotes a common understanding and provides a logical foundation for planning. Examples of items that might be included in a list of such assumptions are:

- heavy financial pressure on the institution and the library will continue

- the library will acquire new forms of media

- network resource-sharing is putting new stresses on portions of the collections

- space pressures will require new methods of storage

- the supply of persons qualified to administer preservaton programs has been small but is now increasing

Based on its list of assumptions, the team next develops priorities for the study. These should flow naturally from the descriptive report and pinpoint the four to six areas of major importance to be emphasized. Some examples of priority statements:

- preservation concerns need to be incorporated into current planning for a storage facility

- methods must be found for predicting and minimizing the physical effects of rising ILL use

- the desirability of continued participation in the state binding contract must be analyzed

The priority statements are not meant to exclude other areas from the study, but simply to highlight problems for which a solution is urgently needed. Once concensus has been reached, the assumptions and priorities section of the background paper should be completed.

REVIEW OF PROGRESS

By this point the team has accumulated a substantial amount of information, and has gained experience with some of the study techniques. A brief review of progress will improve the planning and organization of the rest of the study.

CONTENT

The background paper establishes a framework and indicates the direction and emphases of the study. Its contents should be examined critically to ensure that it will meet these objectives. The team should consider the following points:

1) Scope and comprehensiveness
   - Did the process provide an overview of the situation?
   - Were any important issues overlooked?
   - Does the team feel well enough informed about the subject to proceed?

2) Data collection and analysis
   - Were all significant, relevant data considered?
   - Would additional data alter the results?
   - Were the data analyzed and evaluated in enough depth to provide a reliable background picture?
   - Is the analysis objective and well-reasoned?

3) The descriptive sections
   - Are the descriptions accurate?
   - Do they identify strengths as well as weaknesses?
   - Are they clear and understandable?

4) Planning assumptions and priorities
  - Do they flow logically from the descriptions?
  - Do they recognize constraints?
  - Do they identify opportunities?
  - Are they specific enough to serve as real guides?

This review should lead to some minor changes which refine and improve the report, but drastic rewriting should not be necessary. The background paper is an internal working document. Though portions of it may subsequently be incorporated into the final Preservation Planning Program report, the team should spend no more time on its polishing now than is necessary to orient the task forces to the work they will perform.

METHODOLOGY

In addition to reviewing the report contents, team members should consider whether they are conducting the study as efficiently as possible, and whether they might improve individual or interpersonal effectiveness, by discussing the following questions. The objective is to improve the team's ability to work together, which will be put to the test in the second phase when task force activities will tend to pull team members in several directions.

- Are schedules being maintained?
- How effectively are individuals carrying out their assigned tasks? Is each contributing to the effort or is a major burden falling on one or two people?
- Are sub-groups working well together? How are all performing as a team? Are decisions made as a group, with contributions and support from each member?
- Do leadership and input shift and flow on the basis of competency and knowledge, or do certain individuals attempt to dominate and control?
- Is the team receiving adequate cooperation from the library administration and staff?
- Is the team communicating adequately with the administration and staff?
- Has the study caused any problems or hardships, for team members or other staff, that should be resolved before proceeding?

Consideration of a few methodological issues at this point will suggest approaches for the remainder of the study. These issues include:

- the value of planning and organizing the group's work at the start of each phase;
- the need to design tasks to fit the time available;
- the need to limit data-gathering efforts;
- the need to revise work plans as unanticipated events occur;
- the impact of pressures from ongoing responsibilities;
- the impact of pressures from other staff, including team members' supervisors;
- the importance and difficulty of keeping on schedule.

PLANNING PHASE II

The second phase differs from the first in two important respects: First, the investigations will be of a much more detailed nature than the broad overview approach to the background paper. Second, the work will be carried out by four or five quite separate groups, whose work must be coordinated by the team members who serve as task force chairs. To provide this coordination the team should hold brief, regular meetings throughout the second phase, but team members' responsibilities will expand considerably over those of the first phase.

In order to plan and manage Phase II effectively, team members must thoroughly understand the procedures. A careful reading of Chapters V through IX should proceed team discussion and detailed planning, so that any changes needed to adapt the procedures to local conditions can be identified.

THE TASK FORCE APPROACH

There are four major reasons for employing task forces in the second phase:

1. To tap additional staff knowledge and skills.
2. To provide an opportunity for more staff to become involved, to learn more about the library and about preservation.
3. To accomplish more within a limited amount of time.
4. To dissipate the strain caused by the study on normal library operations by spreading the work among many.

The manual presupposes the use of five task forces to carry out the investigations described in Chapters V through IX, but there may be institutions in which not all are needed. (For example, a library already having an up-to-date disaster prevention and response program need not conduct the disaster planning investigation.) The team needs to define the role of each task force, determine the size and composition of each, select members, and prepare a basic schedule for Phase II.

Since the task forces are created to assist the tem, the team must clearly define their responsibilities. It is crucial that the arrangements and scheduling enable the team as a whole to keep informed about all activities, to minimize overlap and ensure that the goals of this phase are met.

The task forces have three primary responsibilities: to gather data, to analyze it within the context of the particular subset of preservation issues assigned to each, and to identify and evaluate potential recommendations for improvements based on the findings. A written charge should be prepared by the team for each task force, outlining the scope of the investigation, and identifying major issues, expected results, and the deadline for completion of the work.

SCHEDULING PHASE II

It is essential that time guidelines be established for the second phase. It is usually difficult for a task force to focus its efforts at the start, and a schedule with deadlines will help overcome this problem. As the team reflects on its own experience in collecting information, analyzing it and preparing the background paper, it will be able to establish rough estimates of the time needed by each task force to do its work. After an initial orientation and study period, task forces should be given six to ten weeks to carry out their investigations, evaluate their findings and submit reports to the team. They may work concurrently or sequentially, depending on staff time available and schedule pressures.

COMPLETING THE BACKGROUND PAPER

A description of the overall plan for Phase II, the task force charges, and the schedule form the final portion of the background paper. The final draft should be forwarded to the library director, prior to a meeting of the director with the team. Discussion should focus on the major issues identified in the background paper, and the plan of action for the next phase. In particular, the team should seek verification that the assumptions and priorities it has developed are acceptable to the director.

Discussion should also cover the ways in which the rest of the staff is to be kept informed. Task force members will receive the complete background paper, but other members of the staff would benefit from some summary of the significant issues, and should be informed about the plans for the next phase of the study. This might be done in writing, or by way of a progress report during a staff meeting.

Finally, director and team should review criteria for selecting task force members, and agree on a method of making and announcing the appointments.

SELECTING TASK FORCE MEMBERS

The team determines the composition of the task forces, with the advice and consent of the director. Each task force should be chaired by a member of the study team, and may range in size from four to seven people. Factors to consider in determining size and membership include:

- in a large group, work can be spread out but scheduling and group interaction can become clumsy;
- very small groups can reach concensus and make decisions quickly, but each must carry a large share of the work, and the variety of ideas, talents and perspectives is limited;
- the nature of the work to be done and the size of the institution and total staff affect the number of people who can be assigned;

- non-librarian supporting staff can often contribute a great deal, but each task force should include at least two professionals in addition to the chair;
- while representation from every department and unit is not practical, the task forces should have members from many different areas of the library, to improve the level of group awareness of operations and procedures, and to spread the benefits of participation as widely as possible;
- additional considerations are presented in the chapters devoted to each task force.

Analytical ability, subject knowledge, writing skill, interest in the work, willingness to cope with change, and interpersonal skills are all important considerations. As with the study team, the central point is not that each member be skilled in all of these areas, but that each group contain an appropriate mix of abilities and talents.

Selection may be improved if choices are made from a pool of potential candidates. Nominations might be made by senior staff members, or the staff might be invited to express interest in task force service. The team should then develop lists of persons for each task force, to be approved by the library director. The invitation to serve should go from the director, and once all appointments are complete they should be announced to the entire staff.

ORIENTING TASK FORCE MEMBERS - THE SECOND VISIT

Upon appointment, each task force member should be provided with the background paper and study manual. Each should read the paper, and study the first three chapters of the manual, plus the chapter devoted to the topic of his/her task force, prior to the consultant's second visit. This visit will generally include the following elements:

- a brief meeting of the director and consultant;

- a session between the study team and consultant to review progress, discuss general plans for Phase II, and plan the orientation sesssion for task forces;

- a joint meeting of all task force members and the team, with the consultant, to introduce basic preservation issues, the study process, the team's background paper and expectations;

- an informal get-acquainted gathering for all task force members with the team and consultant;

- individual meetings of the consultant with each task force, to develop specific plans for beginning the task force investigations.

APPENDIX IV: About the Background Paper

Purpose: This report is a device for establishing a context, clarifying the issues and identifying the means for addressing these issues during the second phase of the project. The team can use the report to reaffirm or re-negotiate the working agreement with the director about the direction and scope of the study. Its primary function is to provide a common understanding among the team and task force members of the possibilities, expectations and limitations which will affect the study.

Form: Because this is an interim document, a working paper which should not divert energy from the substantive work which is to follow, it should be relatively brief: perhaps twenty or thirty pages, including the planning assumptions, study priorities, task force charges and schedule. A list of topics which might be included in the text appears below; it should be adapted to suit local conditions.

Distribution and use: The report is intended to inform the director and task forces, and may also be shared with appropriate senior staff. All staff might benefit from reading it, but the larger the distribution the more effort is likely to be needed for refining the content. A verbal or written summary with access to the complete document should serve general staff needs adequately.

Potential Topics for inclusion in the background paper

- Institutional setting of the library
  - Parent institution: general description & history - major programs & priorities - financial situation - place of the library
  - Library resources and organization: size - major characteristics of collections - staff - organizational structure - major financial factors
  - Library programs: goals & objectives - services - user population - major trends in policy and program
  - Preservation implications: institutional interest and support - format requirements implicit in service responsibilities (eg, original mss for research, audio-video packages for instructional support, etc) - relationship of preservation to other library programs

- Preservation history of the library
  - The collections: physical types of materials acquired - retention and replacement policies
  - Facilities: age & condition - major moves - disasters
  - Collection maintenance practices: access (e.g., closed or open stacks, circ/noncirc) - binding & repair - storage & handling
  - Development of local preservation activities: brief history - major achievements

External factors
    Publishing trends: developments in book & journal production methods (binding, paper) - care implications of growth in a-v and electronic media
    Developments in the library profession: preservation implications of networks and resource-sharing - preservation education & staffing patterns
    Emergence of preservation: research & technological developments - growth of individual library programs - cooperative approaches

Planning assumptions
    Apparent seriousness of the local preservation problem
    Institutional/fiscal constraints
    Major strengths and resources
    Priorities for the study

Phase II Plan
    Task force charges
    Time table

CHAPTER V. PHASE II: TASK FORCE A - ENVIRONMENTAL CONDITIONS

INTRODUCTION TO ENVIRONMENTAL ISSUES

The environment has a direct and continuing effect on the physical condition of all objects, influencing the rate of natural processes and often introducing elements that alter the nature and direction of those processes. This is true whether the objects be living - plants or animals - or inanimate - stones, buildings, automobiles, books. The degree to which inanimate objects are susceptible to environmental pressures depends upon their physical and chemical structure. Some materials are very stable through a broad range of environmental conditions, while others can tolerate little change in their surroundings without themselves undergoing change.

In the range from granite to snow balls, most library materials lie in a middle zone, relatively stable but requiring protection from extremes, relatively sturdy but requiring some physical support. Buildings and bookstacks afford a large measure of protection and support, but their effectiveness in prolonging the life of their contents depends on the extent to which they control several factors: temperature, relative humidity, light, air quality, and bacterial and higher life forms. Planning for new library buildings, and for the improvement of existing facilities, requires a basic knowledge of the role these factors play in the survival of library materials.

Detailed information about the effects of the environment on library materials will be found in the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK. Although different materials have slightly different requirements for optimal storage, the following conditions should be the goal for average collections containing a variety of materials:

TEMPERATURE should be kept at 65°F ± 5°F year-round, in collections subject to regular use.

> Storage collections should be maintained at lower temperatures, which will slow the rate of deterioration, if materials will not undergo frequent temperature fluctuations as might occur if they are often withdrawn for use (surfaces of cold materials brought into a warm room may be subject to condensation). As a rough rule of thumb, chemical reactions - which generally mean deterioration in library materials - double with each increase of ten degrees Celsius. Even more importantly, temperature has a direct effect on relative humidity: changes in temperature cause moisture to move in and out of hygroscopic (moisture-absorbing) materials such as leather, paper, cloth, and binders board, setting up damaging stresses within the internal structures.

RELATIVE HUMIDITY should be maintained at 50% ± 5% all year round for most collections.

> Excessive variations in either direction, and fluctuations of more than a few percentage points in a single twenty-four hour period, should be avoided. Collections which include vellum should be maintained at 60-65%. Film-based materials (microforms, films, slides) are best stored at 35% ± 5%, but only if they are not likely to be moved frequently into areas of higher humidity. Master microform collections should always be kept at the lower level.

LIGHT sources should provide 30 to 50 foot-candles (300-500 lux), and a **maximum of 75 µ-watts/lumen** (a measure of ultraviolet radiation).

> Both visible and invisible light have cumulative damaging effects, providing energy which promotes chemical reactions within materials, some of which become self-perpetuating even after the original energy source is withdrawn. Most buildings, especially modern buildings, are lit at levels well above those required for comfortable reading and personal safety. Control of light is particularly important in stack areas, to prevent fading and cracking of covers and the edges of text blocks; and it is crucial in exhibit areas, where ancient treasures may be quickly ruined if not adequately protected.

AIR in enclosed storage areas should be filtered to achieve at least 90% efficiency on the "ASHRAE Dust Spot Test". (ASHRAE is the American Society of Heating, Refrigerating and Air Conditioning Engineers.)

> Sulfur compounds and other gaseous substances should be removed through adsorption systems. (Electrostatic precipitators should never be used, since they generate damaging ozone.) Dirt and airborne chemical pollutants contribute to a wide variety of deteriorative processes.

SUPPORT STRUCTURES (e.g., shelves, cabinets, book trucks) should be designed for maximum protection of the materials stored or moved on/in them.

> To provide such protection, structures should be of a size appropriate to the materials; there should be enough of them to prevent over-crowding; they should be maintained to prevent the development of rust, splinters or sharp edges; and they should be conveniently located so that they will in fact be used. As a general rule, book "drops" are antithetical to preservation. If they cannot be eliminated altogether, they should be (1) designed or modified to minimize the distance materials fall and to protect items inside from being damaged when more are deposited; (2) emptied frequently; and (3) locked when the library is open.

REGULAR CLEANING SCHEDULES should be established to eliminate sources of food and shelter for bacteria, insects and vermin.

These are counsels of perfection that few institutions can meet in their entirety. But the difficulties they present are not justification for giving up the effort, any more than the cost of a roof and furnace justify leaving the building open to rain and snow.

ENVIRONMENTAL CHARACTERISTICS OF LIBRARY FACILITIES

Every enclosed space presents a unique set of environmental factors, but a number of common characteristics are present in most libraries:

Rooms are often large, but interior space is divided by furniture, partitions, cabinets and shelves into many small units. Air circulation is therefore uneven, which creates numerous mini-environments with potentially different conditions in the same room. Large collections are commonly divided among several rooms, on different floors, often in separate buildings, each one presenting a new set of conditions.

Patterns in a central stack will be unlike those in a combined storage/-reading area. Conditions in closed cases or cabinets may be quite different from those of the air surrounding them. Materials stored against an outside wall may experience much greater fluctuations than those stored only a few feet away from the wall.

Many older buildings have high ceilings in reading areas, but very low ceilings in stack cores; each create special problems for environmental control, compounded by the fact that few older buildings are equipped with modern climate control systems.

Newer buildings generally have climate control systems, but often have non-openable windows; when the system fails, as it inevitably does, temperature and relative humidity may fluctuate drastically. Modern buildings often incorporate vast window-walls in their design, increasing the potential for damage from ultraviolet light and contributing to heat and humidity problems.

Very humid seasons or climates bring special problems of mold and insect attack, while arrid regions and the low humidity of heated buildings produce dessication and embrittlement. The physical mass of a large collection, and the hygroscopic nature of most record materials affect the efficiency of control systems: as materials absorb and give off moisture to remain in equilibrium with the surrounding temperature and humidity, they tend to buffer the climate at their own expense, promoting falsely reassuring humidity readings.

Most libraries must rely on persons outside the library staff -- university or local government employees -- for the maintenance of library facilities, and even for acquiring basic information about those facilities, such as how to turn down the heat or shut off water in a leaking pipe.

Awareness and understanding of all these characteristics is essential for an effective review of existing conditions, and for planning to improve the library's physical environment.

PROBLEMS IN STUDYING ENVIRONMENTAL CONDITIONS

As suggested by the foregoing, a major difficulty in assessing the environmental situation is the tremendous variation in conditions likely to exist within a single library or library system. The time and cost that would be involved in a truly comprehensive survey make it impracticable for any but the smallest collections. Thus the focus must be on sampling conditions in representative areas. Though such an approach will miss a few problem situations, it will usually identify major areas or conditions needing attention.

Another potential problem results from the uniqueness of every building. Though certain characteristics and patterns are common to many libraries, each building has its own idiosyncracies, many of which may not be immediately apparent to an outside observer. The review process must therefore elicit the knowledge of those who have worked within a facility over a long period of time, who have become familiar with its spaces and quirks, who know what changes and rearrangements have been made in the past, who live their working hours in the environment to be studied.

A third difficulty in investigating environmental conditions on a short-term project basis lies in the fact that those conditions almost always vary from season to season (especially in cold climates), and even from year to year, depending on variations in outside climate and changes in heating and cooling systems, whether the latter be improvements, or breakdowns, or energy-shortage shutdowns. Only a year-round monitoring program can give a complete picture of such seasonal variations, but reports from staff in the area can supplement short-term monitoring to provide preliminary information for planning purposes.

A fourth problem in studying the environment, on a short or long-term basis, relates to the equipment required to monitor conditions. Thermometers are readily available, but measuring humidity and light requires more sophisticated (and more expensive) equipment. (Evaluating air quality is so complex that it is excluded from this study.) Since variations in conditions throughout each day and season - especially if heating or colling are reduced when the library is closed - are of great significance, measurements should be made at frequent intervals over an extended period to learn what is really happening to materials in a given area. Devices are available to record temperature and humidity levels continuously; in their absence, a system of spot checking with less elaborate instruments can provide an indication of potential problem areas.

ASSUMPTIONS UNDERLYING THE ENVIRONMENTAL INVESTIGATION

Several assumptions shape the investigation and should influence the analysis and recommendations for improvement.

- the task force can conduct a preliminary investigation which will identify major problems, but this should lead to an on-going program of environmental monitoring and control;

- conditions will vary from one area to another, and no single approach will address all the problems;

- in many instances, major changes in facilities are not immediately feasible, but some minor changes may result in major improvements;

- goals and priorities for improvements in various areas must be related to the current condition of the materials in those areas, their intrinsic value, and the role they play in the total collection.

Upgrading the conditions is likely to be a long and costly process. The task force assigned to study the library's environment must recognize the physical and economic constraints inherent in the situation, and focus on developing a broad base of factual data which will alert the library administration and officials of the parent institution to the scope of the problem, inform them about the probable consequences of inaction, and outline a series of short and long-term measures for improving the environment to prolong the life of the collections.

ORGANIZING THE INVESTIGATION OF ENVIRONMENTAL CONDITIONS

A task force investigates the environmental conditions of the library on behalf of the study team, and develops recommendations for improvements which the team will use in preparing its final report to the library director. The task force is generally chaired by a member of the study team, and includes four to seven people, depending on the extent of the facilities and the scope of the investigation. The group should include, or have access to, persons with a broad knowledge of the facilities, and familiarity with the institution's maintenance and engineering procedures and personnel. Appointment of an officer from the building department or space planning office of the institution as a consultant to or member of the task force may be valuable.

Upon appointment, members of the task force should inform themselves about the issues through study of this manual (concentrating on chapters I, III, V and the beginning of X), appropriate sections of the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK, and the background paper prepared by the study team. Six to ten weeks may be alloted to conducting the investigation and preparing a report. The study team establishes the deadline, and the task force is responsible for setting its own time table to accomplish the work within that period. The consultant may meet with the task force to review basic environmental information and develop an action plan for the investigation.

STEPS IN THE INVESTIGATION

Before setting forth with clipboards and thermometers, the task force should prepare an inventory of the library's facilities, as the basis for selecting the representative locations which will be examined. The inventory should concentrate on areas in which materials are housed, excluding areas devoted exclusively to administration and patron service. Processing areas should be included if materials remain within them for a week or more, or if special collections materials such as vellum bindings and illuminated manuscripts are handled there.

The inventory should enumerate the spaces, give their approximate sizes, and be annotated to indicate general characteristics (e.g., presence of heating, cooling, humidification, etc.). It should also be keyed to group spaces by major functions: storage only, combined reading and storage, and processing. Existing floor plans will often provide enough information for compiling the inventory. The task force begins its work by deciding what information is needed to compile the inventory and how it might be gathered, and assigning individuals or sub-groups to collect and compile that information.

SELECTING SPACES FOR EXAMINATION

From the completed inventory the task force selects several locations for in-depth examination. Selection criteria should accomodate the following goals:

- the sample should yield information establishing the extent and variety of problems throughout the system;
- it should include spaces housing materials of great artifactual value as well as those of intermediate and ephemeral value;
- it should include spaces in new as well as older buildings, with and without climate control systems;
- it should include public and restricted areas;
- spaces chosen should, to the extent possible, be physically representative of other spaces in the system.

The actual number of locations to be examined in depth will depend upon the variety of types of spaces identified in the inventory, and upon the time and staff available for conducting the review. A superficial review or survey of additional spaces will provide valuable information to augment the in-depth examinations. This can provide verification that the samples are indeed representative of overall conditions, and may point out unique problems not apparent from the inventory.

Before making the final selection, the environmental task force should meet with the task force on the physical condition of the collections, which will be selecting groups of materials for examination. There are advantages to selecting some of the same areas for study, since the complementary data may help to document the relationship between environmental conditions and the deterioration of different types of materials. Coordination with the disaster control task force will also prove useful, since that group has a corollary interest in the facilities.

EXAMINATION OF SAMPLE ENVIRONMENTS

The task force next decides upon the specific methods to be used in examining each area, sets a schedule, and assigns individuals or subgroups to conduct each examination. The data-gathering should concentrate on assembling basic facts about temperature and humidity patterns, light levels, cleanliness, and the physical structures (shelves, cabinets, book drops) that affect materials in each area. Student assistants or volunteers may be assigned to assist with routine aspects of the investigation, such as recording temperature and humidity on a daily basis.

Before beginning the examinations, the task force should communicate with staff responsible for each of the locations to be selected, explaining the purpose and scope of the review, asking for assistance in scheduling activities so as to cause the least inconvenience in the unit, and providing background information about the importance of the environment to the collections.

The data-gathering begins with a visual inspection of each location during which basic physical information is recorded. (An inspection checklist appears in Appendix V-2; an abbreviated version of this may also be useful for collecting comparative information about spaces which will not be examined in depth.) Staff members normally assigned to or responsible for the space may be involved in this initial inspection. They should also be interviewed about seasonal patterns and problems which may not be apparent during the inspection.

The task force member, working with staff in the area as appropriate, then develops a plan for monitoring temperature, humidity and light levels over a two or three-week period. (Appendix V-3 suggests equipment to be used for monitoring.) The plan should specify the exact locations and times at which readings are to be taken. The following factors should be considered:

> Locations for instrument readings should be selected to provide - as nearly as possible - representative data about the whole space and any special areas in it.
>
> Where only non-recording instruments are available, the schedule should provide three to five readings a day, to account for changes in outdoor temperature, movement of the sun, hours of use, etc. Light level patterns can probably be discerned within a week, and need not be monitored longer unless the record is inconclusive, or a strong relationship with temperature is suspected.

> Schedules should be coordinated among all locations being monitored, to avoid conflicts in use of equipment.
>
> Agreement should be reached about who is responsible for making the daily readings. In some instances staff working in the area may be able to do it; in others a task force member, student assistant or volunteer may make rounds. (If psychrometers are used, more consistent readings will be obtained if taken by the same person each time.)
>
> Where recording instruments are not available, some arrangement for making readings when the library is closed at night and on weekends should be made whenever possible, to discover the effects of lowered heat or air conditioning and the absence of occupants. A security officer or maintenance supervisor might be able to cooperate in this effort for a few weeks.

Each person who will be involved should be instructed in proper use of the monitoring equipment and in recording information on a chart or graph, and informed of the location of equipment and places at which readings are to be taken.

Throughout the period during which monitoring is going on in various locations, the task force chair or a designate should maintain a daily log of outside temperature highs and lows, humidity levels, and general weather conditions (sunny, cloudy, rainy, etc.). Radio or newspaper weather service reports may be used for this purpose if the data given is reliable for the actual site of the library. This data will be useful for comparison with internal conditions when analyzing the monitoring reports.

The data should be reviewed half-way through the monitoring period, prior to interviewing appropriate members of the building maintenance or engineering staff. This interview should seek information about the nature and capabilities of the existing climate control systems affecting the area under study, maintenance schedules, the history of problems or improvements which have affected the area, and the possibilities, probable cost factors, and policies such as energy cut-backs, which should be taken into account in developing recommendations for improvements. The interview is also an opportunity to inform these officials about the importance of environmental control for the life of the collections, and to enlist their support for devising means to correct the problems that are being discovered.

During the latter part of the monitoring period, the findings to date should be discussed with staff in the area being studied. This discussion may elicit additional information and insights into the nature of environmental problems and possibilities for solutions. A cursory inspection should be made of materials in any areas which the monitoring data suggests may have special problems, looking for evidence of damage which might have escaped notice during the initial visual inspection.

ANALYZING THE ENVIRONMENTAL DATA

At the conclusion of the monitoring period, all the data assembled about each location, and about external weather conditions, should be presented for discussion by the whole task force. Since much of the data-gathering and preliminary analysis will have been done by individual members or sub-groups, all task force members should have an opportunity to review the data before the meeting. During the discussion, the following questions should be addressed:

- What patterns emerge from the review? Are there any big surprises?

- What spaces appear to have major problems? How serious are those problems in relation to the value of the materials housed in those spaces?

- What spaces appear to possess good environmental conditions? Do the causes for these good conditions suggest actions which might be taken in other areas?

- What short-term measures might alleviate some problems even before long-term solutions are feasible? (shifting materials to more suitable quarters? rearranging furniture, partitions, lights? removing some light bulbs or tubes? installing or replacing filters on air ducts? adjusting or calibrating thermostats? installing fans, dehumidifiers, humidifiers? fumigating? cleaning?)

- What factors must be considered in evaluating potential solutions? (age and overall condition of the building? the energy situation? remodelling or new construction plans?)

- What obstacles and incentives for improvement can be identified for each area? (e.g., energy savings from lowering wattage or installing timer switches vs. initial costs for doing so; improved staff morale from lowered summer temperatures vs. cost of installing and operating air conditioning)

- Are there important spaces or environmental characteristics which could not be examined this time? How might they be investigated in the future?

- How might the monitoring experiences from this task force be used as the foundation for an on-going monitoring program?

From this analysis, the task force should be able to produce a listing of the major strengths and weaknesses in the library's environmental conditions. Because the findings will probably cover a great number and variety of topics, the task force will have to strike a balance between sweeping generalizations and the minutiae of changing this light bulb or curtaining that window. This balance will be easier to achieve by emphasizing establishment of an on-going process or program to monitor and improve conditions.

DEVELOPING RECOMMENDATIONS FOR IMPROVING THE ENVIRONMENT

By now the task force should have learned about most of the environmental conditions affecting the library's collections. Members will have identified the strengths and weaknesses of present facilities, and gained an understanding of the factors which have a present or potential impact on conditions in those facilities. With this preparation the task force can now draft recommendations for improvement.

> What possible approaches might be taken to solve each of the major problems identified?
>
> What pros and cons would each potential solution entail (effects on materials, use pattens, human comfort, mechanical feasibility, cost)?
>
> How do the potential solutions to each problem rank in terms of beneficial impact on the collections?
>
> How do they rank in terms of ease of implementation?

Successful recommendations strike a balance between the ideal and what the library can realistically expect to accomplish. The study team has the final responsibility for integrating the findings and recommendations of the task forces, but the task force provides the information upon which those decisions are made. Its report should document what would be required to achieve ideal environmental conditions, and suggest interim or compromise measures which take account of the constraints and limitations facing the library. Some of these will be physical, some economic. Some may be overcome in the short or long term, while others - the climate of the region, for example - will remain outside the control of the library.

Potential recommendations can be organized into categories - perhaps by environmental characteristic, or by building - and should combine broad goals with specific objectives. Spelling out the relationships between the desired change and the methods for achieving it will aid in avoiding the presentation of massive shopping lists or vague restatements of principles.

For example, rather than recommending that the library filter windows and lights, install timer switches and blinds, the recommendation might read:

> The library should develop a phased approach to reducing overall light levels and providing protection from ultraviolet radiation for materials in its collections. In implementing such a program, first priority ought to be given to the exhibition area and Treasure Room of the Special Collections, and to the History Reading Room with its window wall adjacent to the Dewey Collection stacks. The following methods seem most practical:
>
> - installing timer switches on stack lights;
> - installing blinds or drapes on south-facing windows;
> - allocating funds each year for the purchase and installation of UV-filtering film for windows and exhibit cases, and for filtering sleeves for fluorescent tubes;
> - specifying the use of UV-filtering Plexiglass in all new exhibit cases;
> - etc.

Such a recommendation identifies and describes the problem and suggests options for dealing with it, rather than just telling the administration what to do. Recommendations should also be accompanied by any information the task force has uncovered about cost figures, side benefits and adverse consequences. For example, the supporting data might point out that timer switches will reduce electricity bills, that cloth covers have faded and begun cracking on shelves receiving full afternoon sun, that $X per year for five years would purchase sleeves for all fluorescent tubes in a specified area.

Taken as a whole, the draft recommendations should summarize the task force's findings and judgments about current deficiencies in the environmental conditions of the library, what can be done to improve them, and what results can be expected. Final judgment on specific recommendations, as well as strategies for implementation, are the responsibility of the study team.

REPORTING TO THE STUDY TEAM

The task force report to the study team should follow any guidelines which were established by the team or set forth in the charge. It should include:

1) a brief description of the task force methodology;

2) a general description of the library's facilities;

3) a discussion of the major findings and problem areas indentified through the investigation;

4) a presentation of recommendations for improvement.

A sample outline for the report appears in Appendix V-4; it should be adapted to suit the actual data and nature of the recommendations. The report might also incorporate, where appropriate, information on the probable consequences of various changes, reference to possible constraints, and comments on the risks involved in taking no action.

The task force report is a working paper; its contents should be logically organized and clearly expressed, but its prose need not be highly polished. Final recommendations for change will be made by the study team after it has met with and analyzed the reports of all the task forces.

APPENDIX V-1: Sequence of Tasks for the Environmental Investigation

- Preparation
  - Acquire monitoring equipment
  - Read manual, resource notebook and background paper
  - Plan activities and assign initial tasks

- Produce inventory of spaces
  - Identify information needed and probable sources
  - Assign individuals/sub-groups to collect it
  - Assemble information and prepare inventory

- Select spaces to be examined
  - Determine number of places to be examined
  - Consult with condition and disaster task forces
  - Select locations from inventory
  - Notify appropriate staff

- Examine representative spaces
  - Set schedule, make assignments
  - Conduct visual inspections
  - Establish monitoring plan
  - Carry out monitoring
    - Begin climate record
    - Take daily instrument readings
    - Review data and meet with building engineers
    - Discuss findings with staff in location
  - Assemble all data

- Task force analysis of data
  - All members study data
  - Discuss; identify major strengths and weaknesses
  - Determine major goals for improvement

- Develop recommendations
  - Brainstorm objectives, i.e., potential solutions to major problems
  - Analyze and rank solutions
  - Draft recommendations

- Prepare report to study team
  - Outline contents & assign drafting responsibilities
  - Review/revise sections as completed
  - Complete report and submit to study team
  - Prepare presentation for joint study team/task forces meeting

APPENDIX V-2: Checklist for Environmental Examination

This information is to be gathered by visual inspection and interviewing of staff. It should be supplemented by instrumental monitoring of temperature, relative humidity and light levels.

Identification of space - name, location, approximate square feet, nature and number of materials held, level of use

Heating, ventilating and air conditioning system - type - apparent effectiveness - age - problems - any existing temperature records?

Heat sources - proximity of windows, radiators, heating pipes or incandescent lights to materials - evidence of warping, splitting, cracking

Humidity/moisture conditions - presence of humidification/dehumidification equipment - proximity of water pipes, dry forced-air vents - any leaks - evidence of mold/mildew, or moisture-loving silverfish - signs of desiccation, or condensation - any existing humidity records?

Light - relation of windows to materials - location of fluorescent lights - number of light sources - ultraviolet filters? - evidence of fading, discoloration, or cracking of cover materials?

Housekeeping - general level - dust/dirt on shelves or materials - cleaning schedule - evidence of insects/vermin - special problems

Support structures

Shelving - deep & high enough for materials - free of rust, splinters or sharp edges - height and arrangement convenient for careful and removal and replacement of materials - sufficient number of step stools for safe access to high shelves - adequate book ends - evidence of overcrowding - materials upright - adequate aisle space for trucks

Cabinets - drawers or shelves appropriate to size of materials - free of rust, splinters or sharp edges - smooth, easy opening - convenient for careful removal and replacement - evidence of overcrowding - materials properly supported?

Folders, boxes - appropriate size - provide adequate support - in good condition - evidence of damaging components (eg, embrittlement, stains transferred to contents)

Exhibit cases - sturdy - smooth surfaces - nature of illumination - ventilation - control of internal temperature and relative humidity - ultraviolet filtering - adequate display stands or racks

Book returns - distance & angle of "drop" - cushioned collecting area - frequency of emptying - locked when library is open? - are they necessary?

Book trucks - sturdy & smooth rolling - wide enough for materials - lips or sloping shelves where floors are rough - free of rust, splinters or sharp edges - sufficient number for careful handling without jamming or overloading

Book conveyers - smooth operation - cushioned - clean

Work surfaces & reading tables - adequate size for examining materials - free of rust, splinters or sharp edges - location and arrangement convenient for careful handling

Any evidence of damage from inadequate support structures?

Viewing or listening equipment - clean - good working condition - maintenance schedule - evidence of damage to materials

Arrangement of space - layout & distances appropriate for safe transport and access to materials, and for adequate air circulation

Any special problems due to location, nature of adjoining space, use patterns, age of building, seasonal changes

APPENDIX V-3: Environmental Monitoring

EQUIPMENT

The number and sophistication of devices to be acquired will depend upon the number of locations to be monitored, the value of the materials to be protected, and the inevitable constraints of cost. The PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK contains detailed information about the capabilities and use of various monitoring devices.

Equipment acquired for the task force investigation will form the core of a collection, to be expanded in subsequent years, for an on-going monitoring program. This "starter kit" might include:

Temperature. Reliable mercury or bi-metallic strip thermometers are available at modest cost in hardware or department stores, and can be acquired in quantity and installed in strategic locations throughout the system. Experience gained through the task force investigation will suggest a pattern of distribution for a permanent monitoring system which is appropriate to local conditions.

Humidity. Two or three battery-operated aspirating psychrometers, available from scientific suppliers, will usually suffice for convenient, accurate measurement of humidity and temperature during the task force investigation. Sling psychrometers are less expensive, but more difficult to use effectively. Dial hygrometers may be useful if they are of the type which can be calibrated against a psychrometer. Hygrothermographs, which record temperature and relatave humidity continuously, are highly desirable if they can be afforded. At the very least, they should be used for monitoring areas housing very valuable materials.

Light. Many photographer's light meters can be used to measure overall illumination, though not all operate in the low range required. A Crawford Type 760 UV Light Monitor, though relatively expensive, is essential for reading the level of ultraviolet radiation reaching materials in exhibit cases or on shelves, and for monitoring the effectiveness of UV filters. One of these will be sufficient in most systems, because fewer readings are necessary than for temperature and relative humidity.

Sources for the more esoteric of these instruments are suggested below. Some may already be available within the institution or community, in the building maintenance department, in science or engineering labs or nearby museums. Should the purchasing process prove too lengthy for obtaining instruments in time for the task force investigation it may be possible to borrow them.

Approximate costs (1981)

Bendix psychrometer - $150 (Source 1,2,3,4)

Hygrothermograph (also known as a thermohygrograph) - $400-600 (Source 1,5,6)

Crawford Type 760 UV Light Monitor - $350 (Source 1; Catalog #667)

Sources

1) Science Associates, Inc.
230 Nassau Street, Box 230-12
Princeton, New Jersey 08540
(609) 924-4470

2) Bendix Corporation
Friez Instrument Division
1400 Taylor Avenue
Baltimore, Maryland 21204
(301) 823-2200

3) Fischer Scientific Company
711 Forbes Avenue
Pittsburgh, Pennsylvania 15219
(412) 562-8300

4) Arthur A. Thomas Company
P.O. Box 779
Philadelphia, Pennsylvania 19105
(215) 574-4500

5) Belfort Instrument Company
1600 South Clinton Street
Baltimore, Maryland 21224
(301) 342-2626

6) Conservation Materials, Ltd.
340 Freeport Blvd - Box 2884
Sparks, Nevada 89431
(702) 331-0582

Sample data-collection form

TEMPERATURE/RELATIVE HUMIDITY READINGS

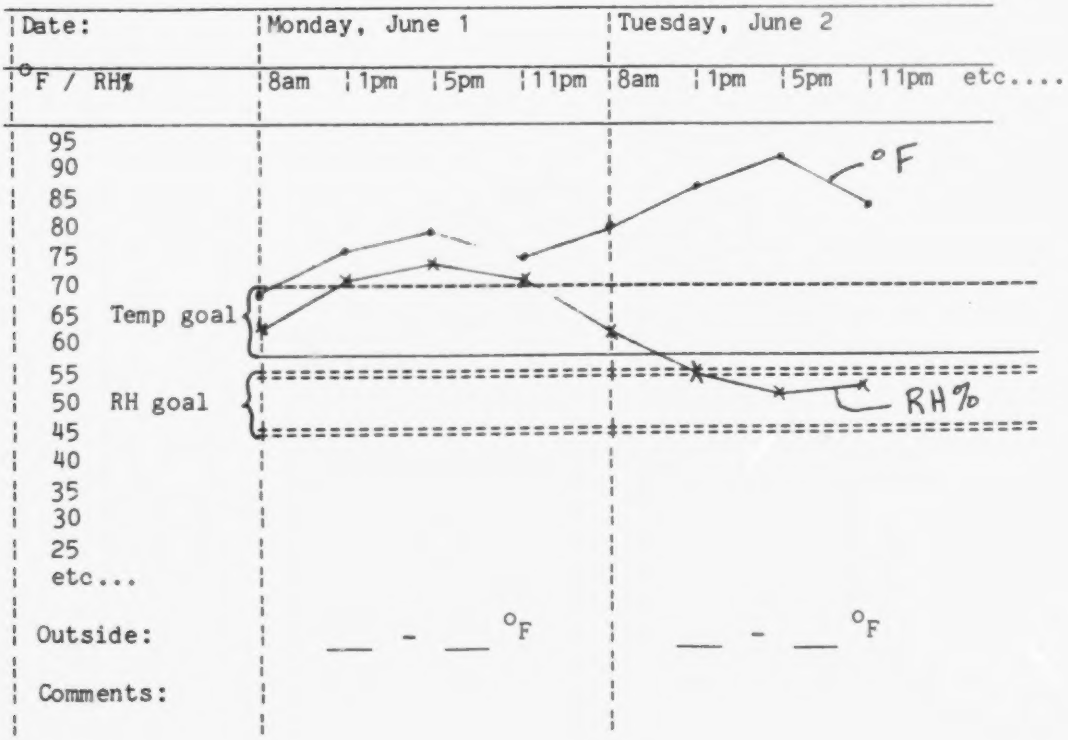
Date:	Monday, June 1				Tuesday, June 2				
Weather:	Temp High 78° Low 66° cloudy, showers				Temp High 93° Low 74° sunny				
Location	8am	1pm	5pm	11pm	8am	1pm	5pm	11pm	etc.....
A	64° / 62%	74° / 70%	77° / 72%	73° / 66%	78° / 61%	86° / 55%	90° / 52%	81° / 54%	
B									
C									
D									

etc...

Sample data display chart

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

LOCATION:



APPENDIX V-4: Sample outline for Environmental Task Force Report

Introduction

- scope of the study
- description of methodology
- limitations or special features in the approach

Brief description of facilities

- main library	OR	- air-conditioned spaces
- branch libraries		- non-air-conditioned spaces

Review of environmental conditions

- major problems
- apparent causes
- impact on the collections

Recommendations for change

Appendices (as appropriate):

- displays of monitoring data
- floor plans identifying major environmental factors
- cost figures for equipment, supplies or structural modifications

CHAPTER VI. PHASE II: TASK FORCE B - PHYSICAL CONDITION OF THE COLLECTIONS

INTRODUCTION TO CONDITION ISSUES

All of the factors discussed in the "Study Model" (Chapter III) influence the conditions that will be found through physical examination of the collections. Because of the wide range in age, ingredients, manufacturing methods, processing techniques, storage conditions and use patterns, most library collections will contain materials in every stage from pristine to completely disintegrated. Particular problems may cluster by location or format, but the traditional organization of materials into subject collections and internally-expanding classification sequences tends to distribute physical problems randomly throughout the system.

Although brittle paper is correctly identified as the most urgent preservation problem in large research collections due to the preponderance of paper-based materials, many other physical problems can easily be identified: decayed and broken bindings, unstable photographic media, wearing of audio-visual materials from listening/viewing devices, damage to items of non-standard size from inadequate storage containers. Furthermore, single items often exhibit more than one problem: a book with brittle paper may be sewn too tightly and have lost its spine; a faded slide may have been scratched and have a bent mount; a disc recording may have accumulated dirt in its grooves, be warping due to improper support in storage, and be kept in a crumbling cardboard jacket.

The purpose of the library is almost inevitably hostile to the preservation of its contents, for materials are acquired, organized and stored primarily to be used, and use necessarily takes a toll on condition. Preservation programs must therefore strike a compromise between the physical needs of the materials and the access needs of patrons, and any review of physical conditions must be based on an understanding of the tension between these two conflicting interests.

PROBLEMS IN STUDYING THE CONDITION OF THE COLLECTIONS

The major difficulties in evaluating the physical condition of the collections relate to the number and variety of the items involved, and the variety of physical problems that each may present. A research library may contain materials in a dozen different formats, there may be hundreds of thousands - even millions - of items in each format group, and within each group there are likely to be substantial differences in the chemical constituents and physical structure of individual items. Since an examination of every item is quite impossible, sampling techniques must be employed as a basis for estimating total preservation needs.

The application of survey methodologies and sampling techniques to preservation questions is still in the developmental stage. The PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK contains reports on several different approaches which have been used successfully to collect certain kinds of condition information. Not surprisingly, the most managable are those which severely limit the type of material to be examined (e.g., a subset of monographs from the larger group of bound volumes) and the number of characteristics to be evaluated. Results are therefore reliable and precise, but by no means comprehensive. A complete picture of conditions throughout the collections, therefore, can only be acquired by accumulating the results from many carefully selected samples. Given the time requirements for planning and execution, this is necessarily a long term project.

Another major difficulty in evaluating the condition of the collections arises from the fact that certain physical characteristics can only be determined through relatively sophisticated means. For example, brittle paper can be identified by folding a corner, but the acid content which will soon lead to embrittlement of new paper can only be measured through the use of moistened test strips, the spot application of chemicals, or with laboratory pH meters. Damage to film images or sound tracks is best discovered by viewing or listening on appropriate machines. Thus time factors, equipment needs and the level of knowledge required to evaluate such characteristics may limit the scope of a survey.

ASSUMPTIONS UNDERLYING THE INVESTIGATION OF COLLECTION CONDITIONS

Several assumptions shape the investigation and should influence the analysis and recommendations for improvement.

- The development of reliable information about the physical condition of the collection is possible, and is essential for intelligent planning.

- Informed projections based on careful sampling can indicate the approximate number of items in each major condition category. This information will suggest the comparative need for this or that type of preventive or remedial treatment, thus enabling a library to allocate existing resources, and justify requests for additional support, in a responsible way.

- The task force investigation begins this process by enumerating the types of material to be found in the collections, developing preliminary information about the range of existing physical problems, and examining a few carefully selected groups of materials. The factual (if partial) framework which this creates aids in establishing priorities for initial preservation program development, and charts the broad areas for which detailed information will need to be acquired in the future.

Upgrading the conditions is likely to be a long and costly process. The task force assigned to examine the library's collections must recognize the physical and economic constraints inherent in the situation, and focus on developing a broad base of factual data which will alert the library administration and officials of the parent institution to the scope of the problem, inform them about the probable consequences of inaction, and outline a series of short and long-term measures for protecting and treating the collections.

ORGANIZING THE EXAMINATION OF THE COLLECTIONS

On behalf of the study team, a task force examines the collections to develop preliminary data about the scope and variety of physical problems. It drafts recommendations for more comprehensive future surveys of collection conditions and for expanded programs to improve the present condition and retard the processes of deterioration in the future, which the team will use in preparing its final report to the library director. The task force is generally chaired by a member of the study team, and includes four to seven people, depending on the extent of the facilities and the scope of the investigation.

The group should include, or have access to, people with a broad knowledge of the collections, an understanding of the way various categories of materials are used, familiarity with the library's past and present programs for binding, repair and other physical treatment, and an appreciation of the differing physical care obligations appropriate to materials of great artifactual value (rare books, special formats), and those whose value lies chiefly in their intellectual content. Knowledge of statistical methods and sampling techniques will also be valuable. When not available within the library staff, this expertise can often be provided by appointment of someone from the institution's systems office or computing center as a consultant to the task force.

Upon appointment, members of the task force should inform themselves about the issues through study of this manual (concentrating on chapters I, III, VI and the beginning of X), appropriate sections of the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK, and the background paper prepared by the study team. Six to ten weeks may be alloted to conducting the investigation and preparing a report. The study team establishes the deadline, and the task force is responsible for setting its own time table to accomplish the work within that time period. The consultant may meet with the task force to review condition survey methods and develop an action plan for the investigation.

STEPS IN THE INVESTIGATION

INVENTORY OF COLLECTIONS

To establish the universe from which samples will be selected for examination, the task force prepares a **brief** inventory of the various physical types of materials throughout the system. This inventory should record, in summary fashion, the approximate number of items in each group, age range, estimate of level of use, and any special consideration (rarity, terms of gift, resource-sharing obligations, etc) which bear on the library's responsibility for physical care of the items in each group. (A sample display format for inventory data appears in Appendix VI-2.) Much of the information should be available in existing annual or statistical reports, though it may need to be supplemented by brief interviewing of staff in some areas.

SELECTING MATERIALS FOR EXAMINATION

From the inventory, the task force then selects several groups of materials for examination. To the extent practicable, selection should accomodate the following goals:

- the review should yield information establishing the variety and severity of problems throughout the system;

- it should include collections of great artifactual value as well as those of intermediate and ephemeral value;

- it should include collections of predominately older materials as well as those of recent materials;

- it should cover all the physical formats of which the library has significant holdings;

- it should include materials from those subject areas for which the library has a special collecting commitment;

- it should include materials which are heavily used, as well as those in less demand.

Miscellaneous groups which might also be considered in the selection process include:

- materials for which sustained concern about condition has been expressed by staff or patrons;

- groups of similar materials which have been processed, bound, wrapped or stored in significantly different ways;

- materials scheduled for a move from one location to another;

- discrete groups of materials not yet processed and added to the collections.

The actual number and size of groups to be examined will depend upon the variety of types of materials in the collections, taking into account the time and staff available for conducting the review. **The task force must keep in mind that a comprehensive review of the condition of the entire collection is quite beyond the scope of its charge. Rather it must focus on carefully selected slices of the whole.** From these, informed projections about the remainder can be developed as the basis for planning programs to improve and maintain the physical condition of the library's collections. The task force review serves as a pilot test for more extensive collection condition monitoring which may be recommended as an element in an on-going preservation program.

Before making the final selection, the physical condition task force should meet with the task force on the environment, which will be selecting spaces throughout the system for examination. There are advantages to selecting some of the same areas for study, since the complementary data may help to document the relationship between environmental conditions and the deterioration of different types of materials.

PHYSICAL EXAMINATION OF SELECTED MATERIALS

The task force should study the various examination procedures and sampling methods in the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK and determine the methods to be employed. A critical decision relates to the types of information to be gathered about each of the items to be examined: the number must be managable, given the number of staff and the time available for the survey; and the data obtained from examinations of various groups should be comparable. The goal is to be able to answer two fundamental questions:

> 1) How many different kinds of physical problems exist within the collections, and what are they?
> 2) What percent of the materials in a group exhibit the two or three most significant problems?

A common examination report form should be used by all those examining materials, and a training session on sampling methods and examination procedures will promote consistency of results.

This data-gathering phase should focus on assembling facts and figures about characteristics of the physical condition of the materials as they relate to specific protective or remedial treatment possibilities.

> For example, instead of a general finding that XX% of the books in a given collection are in need of some kind of attention, the survey might seek to establish that X% have loose or torn hinges and need minor repair, Y% have broken bindings but good paper and need rebinding or boxing, and Z% are so brittle as to be virtually unusable and should pass through a decision process leading to replacement, reproduction, withdrawal or full conservation treatment.

Criteria for distinguishing between each category must be determined in advance, and be relatively easy to learn and apply. Time constraints dictate that the categories be few in number, and thus carefully selected to provide information of maximum value.

Individuals or teams should be assigned to conduct the examinations; the assignments may be divided up on the basis of format, or by location. A preliminary visit, to gain a sense of the overall arrangement and condition of materials, should include both visual inspection of the areas and discussion with staff familiar with the materials, seeking information about special problems, historical developments and use patterns which have affected conditions. Work plans for carrying out the detailed examinations should be discussed within the task force, to ensure coordination of special resources (use of additional staff members, student assistants or volunteers in data-gathering, computer support for tabulating results, etc).

ANALYZING PHYSICAL CONDITION DATA

The survey data about each group of materials should be presented for discussion by the whole task force. Since much of the data-gathering and preliminary analysis will have been done by individual members or subgroups, all task force members should have an opportunity to review the data before the meeting. During the discussion, the following questions should be addressed:

- What patterns emerge from the review? Are there any big surprises? How do these findings compare with those reported by other libraries?

- What groups of materials or formats appear to have major problems? How serious are those problems in relation to use patterns or the value of the materials?

- What groups of materials appear to be in good physical condition? Do the apparent causes for this suggest actions which might improve the condition of other groups.

- Does the task force feel confident that the condition of the groups of materials examined is representative of the condition of similar groups? What reasonable projections might be made about them?

- What short-term measures might alleviate some problems even before long-term solutions are feasible? (changing oversize items from vertical to horizontal shelving? restricting access to very fragile items? using better quality processing supplies? eliminating a particular style of binding? adding a microform subscription in lieu of binding current issues?)

- What factors must be considered in evaluating potential short and long range solutions? (availability of treatment alternatives? need for decision criteria and procedures? potential changes in retention policies?)

- What obstacles and incentives for improvement can be identified for each area?

- Were the survey and examination methods effective? Are they adaptable to monitoring collection conditions on a continuing basis?

- Are there important groups of materials or condition characteristics which could not be examined this time? How might they be investigated in the future?

From this analysis, the task force should be able to develop a general description of the condition of the major groups of materials within the collections, a listing of the variety of problems affecting each group, and a priority ranking of major problems. At least two factors affect the establishment of priorities: the number of items exhibiting a particular problem, and the importance (based on subject content, rarity or user demand) of the materials affected.

DEVELOPING RECOMMENDATIONS FOR IMPROVING THE CONDITION OF THE COLLECTIONS

The report of this task force may suggest approaches to solving many of the condition problems discovered through its survey, but its chief purpose is simply to document in a preliminary way the scope and variety of physical problems affecting the collections. Some remedies may be very obvious and should be so indicated. In many cases, however, detailed recommendations for solutions will come from the other task forces, to be integrated by the study team with the priorities suggested by the condition task force report. Recommendations should therefore emphasize ways of responding to the specific data gathered through the task force examination of materials, and mechanisms for extending the survey to other materials.

By now the task force should have learned a great deal about the general condition of the collections. Members will have identified strengths and weaknesses, gained some understanding of the factors which contribute to and alleviate condition problems, and accumulated valuable experience with sampling techniques and physical examination methods. With this preparation the task force can now draft recommendations for improvements.

What possible approaches might be taken to solve each of the major problems identified?

What pros and cons would each potential solution entail?

> How do the potential solutions to each problem rank in terms of beneficial impact on the collections?
>
> How do they rank in terms of ease of implementation?

Successful recommendations strike a balance between the ideal and what the library can realistically expect to accomplish. The study team has the final responsibility for integrating the findings and recommendations of the task forces, but the task force provides the information upon which those decisions are made. Its report should document the nature and severity of the major problems facing the collections, suggest potential solutions to those problems, and outline ways in wich the condition survey methodology can be employed to develop information about materials not examined during the task force investigation.

Potential recommendations can be organized into categories - perhaps by type of material - and should combine broad goals with specific objectives. Spelling out the relationships between the desired change and the methods for achieving it will aid in avoiding the presentation of massive shopping lists or vague restatements of principles.

For example, rather than recommending that the library microfilm all incoming pamphlets, order prebound paperbacks, fumigate materials received from X latitudes, and create insurance copies of tape recordings, the recommendation might read:

> The library should develop a system for monitoring the physical format and condition of new and potential acquisitions in order to make appropriate treatment decisions before adding to the collections. In implementing such a program, priority ought to be given to materials from areas in whch publishing tends to be done on poor quality paper, and to non-print media particularly susceptible to damage. The program might include the following elements:
>
> - developing policies regarding preferred formats when acquisitions choices are possible (hard cover vs. paperback, paper vs. microform, vesicular vs. diazo film, tape vs. disk);
>
> - screening incoming materials on high-acid or brittle paper for deacidification or conversion to film;
>
> - expanding in-house microfilming activities to convert lesser-used documents and reports to microfiche before cataloging;
>
> - returning damaged materials for replacement before processing;
>
> - routing irreplaceable damaged materials for repair before shelving;
>
> - etc...

Such a recommendation identifies and describes the problem and suggests options for dealing with it, rather than just telling the administration what to do. Recommendations should also be accompanied by any information the task force has uncovered about cost figures, side benefits and adverse consequences.

Taken as a whole, the draft recommendations should summarize the task force's findings and judgments about the implications of the condition information it has gathered, practicable methods for expanding and continuing the survey, and changes in present methods of care and treatment that will alleviate the problems discovered thus far. Final judgment on specific recommendations, as well as strategies for implementation, are the responsibility of the study team.

REPORTING TO THE STUDY TEAM

The task force report to the study team should follow any guidelines which were established by the team or set forth in the charge. It should include:

1) a brief description of the task force methodology;

2) a general description of the condition of the collections;

3) a discussion of the major findings and problem areas indentified through the investigation;

4) a presentation of recommendations.

A sample outline appears in Appendix VI-3; it should be adapted to suit the actual data and nature of the recommendations. The report might also incorporate, where appropriate, information on the probable consequences of various changes, reference to possible constraints, and comments on the risks involved in taking no action.

The task force report is a working paper; its contents should be logically organized and clearly expressed, but its prose need not be highly polished. Final recommendations for change will be made by the study team after it has met with and analyzed the reports of all the task forces.

APPENDIX VI-1: Sequence of Tasks for the Condition Review

- Preparation
  - Read manual, resource notebook and background paper
  - Plan activities and assign initial tasks

- Create summary inventory of collections
  - Identify information needed and probable sources
  - Assign individuals/sub-groups to collect it
  - Assemble information

- Select groups of materials for examination
  - Study sampling methodologies
  - Determine approach and number of groups to be surveyed
  - Consult with environmental task force
  - Make selection

- Conduct survey
  - Set schedule, make assignments
  - Examine materials
  - Assemble all data

- Task force analysis of data
  - All members study data
  - Discuss; identify major strengths and weaknesses
  - Determine major goals for improvement
  - Identify priorities for surveying other materials

- Develop recommendations
  - Brainstorm objectives, i.e., potential solutions to major problems
  - Analyze and rank solutions
  - Draft recommendations

- Prepare report to study team
  - Outline contents & assign drafting responsibilities
  - Review/revise sections as completed
  - Complete report and submit to study team
  - Prepare presentation to joint study team/task forces meeting

APPENDIX VI-2: Sample Inventory Format

Physical Types*	Estimated # of Items	Ages or date range (if known)	Estimated use (heavy, etc)	Notes - special considerations
Bound Volumes				
Unbound serials & documents				
Newspapers				
Microforms				
etc...				

*For each type it may be desirable to list groups by location.

APPENDIX VI-3: Sample Outline for Condition Task Force Report

Introduction

- scope of the study
- description of methodology
- limitations or special features in the approach

Description of Collection Conditions

- overview - range of materials and general conditions
- identification of materials in good condition
- condition problems
    - major problems, collections affected
    - ranking of problems by number & "significance" of items
- comparison with conditions reported by other libraries

Recommendations

- on-going condition monitoring needs and methods
- immediate uses of survey findings
- short term control measures
- long term remedial and preventive strategies

Appendices (as appropriate):

- physical inventory of collections
- sample examination report forms
- tables/charts displaying survey results

CHAPTER VII. PHASE II: TASK FORCE C - ORGANIZATION

INTRODUCTION TO ORGANIZATIONAL ISSUES

All libraries carry out preservation functions whether they have a formal preservation program or not. In fact, there are preservation aspects to the work of almost every unit of a library - selection, processing, circulation, bindery preparation, stack maintenance, and user education. Similarly, responsibility for decisions affecting the preservation of materials is scattered throughout a library system in different units and at different levels of the professional and the nonprofessional staff.

Explicit preservation policies are few and seldom comprehensive, but there are often preservation implications in many policy statements dealing with other topics, such as retention, access, interlibrary loan, duplication and replacement. Expenditures for preservation are generally scattered among several unrelated budget lines, with binding being the single category about which cost figures are most often available.

This amorphous situation accurately represents the fact that preservation is a library-wide responsibility which can never be completely isolated and assigned to a single organizational or budgetary unit. However, if that responsibility is to be exercised effectively, much must be done to make explicit that which has been implied, to coordinate policy formulation and decision-making as they affect preservation, and to ensure that staff whose activities have a preservation component are appropriately trained and prepared.

Organizing for preservation need not mean setting up a preservation department, though it will often include that. It does require the development of organizational mechanisms for the articulation of policies and the coordinated implementation of programs which carry out those policies.

PROBLEMS IN STUDYING THE ORGANIZATION OF PRESERVATION FUNCTIONS

The first difficulty in studying the effectiveness of the library's current preservation activities lies in trying to discover what they are. Organization charts and budget statements generally reveal little; unit function statements and job descriptions may suggest more. But much will depend on task force members' knowledge of the library and ability to view familiar operations in a new way.

A second difficulty relates to the relative scarcity of proven organizational models against which to compare the local patterns which can be identified. Few libraries have had preservation units for more than a few years (most still do not), and their placement within the organization still tends to reflect historical accident more than deliberate planning.

A third difficulty lies in determining the appropriate distribution of staff and program resources among various preservation functions, which can only be done in the context of reliable information about the preservation needs of the collections.

ASSUMPTIONS UNDERLYING THE ORGANIZATIONAL REVIEW

Several assumptions shape the investigation and should influence the analysis and recommendations for improvement that will flow from the review of the library's preservation activities and organization:

- describing and inventorying preservation functions and decisions will serve to inform library staff about preservation needs and responsibilities - an essential first step in improving and expanding programs;

- spelling out unit and individual responsibilities for preservation functions will clear up some of the confusion and ambiguity that typically leads to inefficiency and lack of coordination;

- identification of current expenditures will provide a basis for improved future planning;

- information about the present level of preservation knowledge and skills within the library staff will improve allocation of time and planning for staff development;

- the organizational review will suggest a number of areas for improvement and options for expanding preservation programs, but final determination of an appropriate organizational structure for preservation can only be made in the context of the findings of the other task forces.

Creating or expanding a preservation program is likely to be a long and costly process. The task force assigned to study the organization of the library's preservation activities must recognize the administrative and economic constraints inherent in the situation. It should concentrate on developing a factual report which describes present arrangements, identifies desirable elements in a comprehensive program, and outlines a series of short and long-term measures which will build toward a total program.

ORGANIZING THE INVESTIGATION

A task force investigates the organizational issues affecting preservation on behalf of the study team, and develops recommendations for improvement which the team will use in preparing its final report to the library director. The task force is generally chaired by a member of the study team, and includes four to seven people, depending on the size of the library system and the scope of the investigation. The group should include, or have access to, people with a broad knowledge of the library's policies and organization, and familiarity with processing and collection management policies and procedures. Appointment of the library planning or personnel officer as member or consultant to the task force may be useful in some situations.

Upon appointment, members of the task force should inform themselves about the issues through study of this manual (concentrating on chapters I, III, VII and the beginning of X), appropriate sections of the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK and the background paper prepared by the study team. Six to ten weeks may be alloted to conducting the investigation and preparing a report. The study team establishes the deadline, and the task force is responsible for setting its own time table to accomplish the work within that period. The consultant may meet with the task force to review basic information about the organization and administration of preservation programs, and to develop an action plan for the investigation.

STEPS IN THE INVESTIGATION

IDENTIFYING PRESERVATION FUNCTIONS

As a prelude to establishing the extent and boundaries of the investigation, the task force should begin by brainstorming all the local activities, policies and decision-making processes in the library which might have a bearing on the preservation of the collections. Descriptions of preservation programs in other libraries, and the appendices on staff and budget in the appendices to this chapter, will suggest major areas to be considered, and may help in recognizing local activities generally thought of in some other context.

Preservation functions will tend to group themselves into categories, by type of activity, by location or by organizational unit. Such relationships may provide clues for the data-gathering which will follow, but the group should not spend a lot of time trying to analyze and categorize activities yet. The purpose of this listing exercise is to reduce the possibility of overlooking significant preservation-related activities. The task force may then choose to exclude some from the investigation, but such an exclusion should be by design, not oversight.

DETERMINING INFORMATION NEEDS

Careful analysis of these functions will require several different kinds of information, which must usually be sought in different ways:

> **Policies.** The library may not have a "preservation policy" as such, but there are almost certainly preservation implications scattered throughout policy statements on other issues. Identification and compilation of these statements will make it possible to recognize gaps, overlaps or contradictions which now exist in the library's official position statements as they affect preservation.
>
> **Procedures.** As materials flow through the system - from initial processing through circulation to (for some) eventual withdrawal - they are subject to a variety of decisions and physical actions which may affect their condition. Charting this flow will make it possible to identify those points at which preservation issues intersect technical and public service functions. This in turn will suggest procedures about which documentation should be sought, processes which should be observed, and people who should be interviewed in order to learn what is presently being done to materials. Any existing statistics for preservation activities should also be collected; a checklist for these appears in Appendix VII-2.
>
> **Staffing.** Just as preservation procedures - recognized or not - are carried out throughout the system, so to the people carrying out those procedures are scattered at different levels, in many units. Most libraries would be surprised to discover how many staff hours are actually devoted to preservation-related work already (though the degree of coordination or quality may need improving). Appendix VII-3 suggests a method for calculating the current level of effort, which should be used in conjunction with the investigation of procedures.
>
> **Budget.** "How much do you spend on preservation?" is a question most administrators would prefer not to have to answer. Definitions of what should be included as preservation expenditures are not well developed or accepted, and few accounting systems are set up in such a way that preservation costs can be easily isolated. The need for such information, however, is great, if present financial resources are to be put to best use and if budgeting for future preservation activities is to be done rationally. A checklist for use in collecting financial information appears in Appendix VII-4.

GATHERING INFORMATION

The task force must decide what kinds of information it needs, where and how it can be found, and how much should be sought. Individuals or sub/groups can then be assigned to gather it. Regardless of the specific approaches employed in the data-gathering process, the goal is to be able to answer the following questions about each major function:

- what is done, how, how much?

- who does it? (number of staff, level, background and training)

- what instructions, manuals or other in-house documents guide the activity?

- who decides what's to be done, using what criteria?

- what organizational relationships shape the activities? how well are they coordinated?

- what does it cost, direct or indirect?

- what is the level of quality or effectiveness, as perceived by those performing the work and by others?

- how does the quantity relate to the level of need?

- what are the major strengths and weaknesses or limitations?

This data-gathering will normally involve a great deal of personal contact between task force members and individuals throughout the library. More than one meeting with key individuals may be useful, the first given to offering information about the goals of the task force review and gaining an overview of the operation. This information can then be reviewed and compared with data collected from other sources. Specific questions should be formulated for a follow-up meeting to fill in gaps.

Prior to investigating unfamiliar areas, particularly those involving the physical treatment of materials, task force members should inform themselves about the subject through study of appropriate resource materials, in order to ask sensible questions. However, the techniques of preservation have by no means been standardized, and local practice may be better than anything yet described in the literature. Task force members must strive to remain neutral throughout the data-gathering stage, not only to reduce the risk of antagonizing others, but to ensure a thorough and accurate investigation: pre-judging the value of an operation will interfere with effective learning about it.

ANALYZING THE ORGANIZATIONAL DATA

All the information should be presented for discussion by the whole task force. Since much of the collection and preliminary analysis will have been done by individual members or sub-groups, all task force members should have an opportunity to review the data before the meeting. During the discussion, the following questions should be addressed:

- What organizational or functional patterns emerge from the review? Are there any big surprises?

- How comprehensive are existing policy statements relating to preservation? are there gaps, overlaps, or contradictions?

- To what extent are existing policies implemented? is responsibility for implementation clear? are resources adequate?

- What functions or categories of activities appear to be inadequately performed? how serious are the inadequacies in relation to the apparent need? what are the apparent causes of the problem?

- How many different kinds of preservation decisions are being made? are they coordinated? based on appropriate criteria or guidelines? made by appropriate staff?

- Is physical treatment of materials carried out in more than one place? for good reason? is space and equipment adequate? are staff appropriately trained and supervised? are treatment decisions coordinated? are methods appropriate and based on up-to-date knowledge?

- How much time and money is currently being spent on preservation? how does the allocation of these resources relate to existing policies? to apparent need?

- How extensive is staff awareness of preservation needs? commitment to solving preservation problems? knowledge of preservation theory and practice?

- What are the strong points in current preservation operations?

- What functions or organizational factors were excluded or overlooked? how might they be studied in the future?

As a context within which specific recommendations can be developed, the task force should spend a little time discussing what an ideal preservation program might look like. If resources were unlimited, what policies, procedures, staffing, and space might be needed? What organizational structures might be employed to carry out the work? For example:

- a consolidated preservation unit within the technical services department, with formal liaison to each unit housing materials;

- a conservation laboratory for sophisticated treatment of special materials, located in the rare book library; a general binding and repair unit in the technical services department; a screening unit for replacement/treatment decisions attached to the assistant director for resources; a preservation officer responsible for staff training and patron awareness programs, environmental monitoring and disaster preparedness, who reports to the associate director; and a preservation council representing all these units which establishes policy and coordinates implementation;

- a preservation librarian assigned to each major collection area, analagous to subject or area bibliographers; a preservation treatment unit including a laboratory, minor repair shop and reprographic unit; a space planning officer whose responsibilities include environmental conditions and disaster preparedness; all reporting to an associate director for collection management and preservation.

There are many effective ways of organizing preservation activities. These notions, descriptions of programs at other libraries, and insights gained in examining the local situation, should stimulate creative responses to the question: **"how should our preservation activities be organized to capitalize on our strengths, and respond to our needs, while maintaining the unique character and traditions of our library?"**

With this ideal as a long-range goal, the task force should be able to produce a listing of the major strengths and weaknesses in the library's present organizational approach to preservation, which will form the basis for developing recommendations.

DEVELOPING RECOMMENDATIONS ON AN ORGANIZATION FOR PRESERVATION

By now the task force should have learned a great deal about the organizational issues affecting preservation. Members will have identified the strengths and weaknesses in the present arrangements, and gained an understanding of the numerous elements which need coordination. With this preparation the task force can now draft recommendations for improvements in the organization of programs for preserving the library's collections.

> What possible approaches might be taken to solve each of the major problems identified?
>
> What pros and cons would each potential solution entail?
>
> How do the potential solutions to each problem rank in terms of beneficial impact on the collections?
>
> How do they rank in terms of ease of implementation?

Successful recommendations strike a balance between the ideal and what the library can realistically expect to accomplish. The study team has the final responsibility for integrating the findings and recommendations of the task forces, but the task force provides the information upon which those decisions are made. Its report should document what would be required to develop a comprehensive preservation program, and suggest interim measures which take account of the constraints and limitations facing the library.

Potential recommendations can be organized into categories - perhaps by type of activity (storage & handling, physical treatment, replacement or reproduction programs, etc) or by managerial function (policies, procedures, personnel, budget) - and should combine broad goals with specific objectives. Spelling out the relationships between the desired change and the methods for achieving it will aid in avoiding the presentation of massive shopping lists or vague restatements of principles.

For example, rather than recommending that the library abolish the present mending unit, hire a conservator and set up a laboratory for archival quality repair and restoration work, the recommendation might read:

> The library should implement a phased plan for expansion of present mending operations into a full-scale conservation treatment program. When facilities and staff resources reach an adequate level, Special Collections materials now sent outside for professional treatment can be kept inside, with freed funds supporting a portion of the workshop budget. Steps toward this goal include:
>
> - sending the mending supervisor for weekly training sessions at the regional conservation center;
>
> - hiring an experienced conservator as consultant for a week or two, to work with the staff in analyzing methods and materials now used, with emphasis on expanding the use of protective containers in lieu of direct treatment;
>
> - increasing the mending unit supply budget by 30% for one year, to allow the purchase of bulk quantities of better quality materials, and developing a supply budget formula for future years based on average costs per unit treated;

- transferring the mending unit administratively from the Processing Section to the Collection Management Office, and integrating treatment decisions with selection, replacement and weeding routines;

- locating space with appropriate plumbing and ventilation potential, for conversion to a physical treatment workshop large enough for a staff of ten;

- seeking funds from the Friends of the Library to renovate the space; seeking a benefactor to endow a conservator position for five years;

- etc....

Such a recommendation identifies and describes the problem and suggests options for dealing with it, rather than just telling the administration what to do. Recommendations should also be accompanied by any information the task force has uncovered about cost figures, side benefits and adverse consequences.

Because the scope of preservation activities is so large, the task force will not be able to provide a detailed blueprint for every element that should eventually be included or for every step in moving toward the ideal. It must concentrate on a few major areas, emphasizing short-term actions that will naturally enhance the library's ability to keep moving in the direction charted -- staff education, a plan for phased reallocation funds, correction of current practices that are detrimental to materials.

Taken as a whole, the draft recommendations should summarize the task force's findings and judgments about appropriate steps for improving the coordination of existing preservation activities and building gradually toward a comprehensive program. Final judgment on specific recommendations, as well as strategies for implementation, are the responsibility of the study team.

REPORTING TO THE STUDY TEAM

The task force report to the study team should follow any guidelines which were established by the team or set forth in the charge. It should include:

1) a brief description of the task force methodology;

2) a review of current activities and organizational factors;

3) a discussion of the major strengths and weaknesses (i.e., opportunities and problem areas) identified through the investigation;

4) a presentation of recommendations.

A sample outline appears in Appendix VII-5; it should be adapted to suit the actual data and nature of the recommendations. The report might also incorporate, where appropriate, information on the probable consequences of various changes, reference to possible constraints, and comments on the risks involved in taking no action.

The task force report is a working paper; its contents should be logically organized and clearly expressed, but its prose need not be highly polished. Final recommendations for change will be made by the study team after it has met with and analyzed the reports of all the task forces.

APPENDIX VII-1: Sequence of Tasks for the Review of Organization

- Preparation
  - Read manual, resource notebook and background paper
  - Plan activities and assign initial tasks

- Identify preservation functions and organizational factors
  - Determine information needed and probable sources
  - Assign individuals/sub-groups to collect it
  - Assemble all data

- Task force analysis of data
  - All members study data
  - Discuss; identify major strengths and weaknesses
  - Determine long-range goal for preservation program

- Develop recommendations
  - Brainstorm objectives, i.e., potential solutions to major problems
  - Analyze and rank solutions
  - Draft recommendations

- Prepare report to study team
  - Outline contents & assign drafting responsibilities
  - Review/revise sections as completed
  - Complete report and submit to study team
  - Prepare presentation to joint study team/task forces meeting

APPENDIX VII-2: Checklist for Gathering Preservation Statistics

Few libraries have yet developed a systematic approach to measuring preservation efforts. Workload statistics can provide valuable data for evaluating levels of current activity, for making comparisons with earlier years and other libraries, and for projecting future needs. The following list suggests the kinds of preservation statistics that may be available from various units within the library.

Preservation screening/replacement

- Damaged/deteriorated items (or titles) identified
- Titles searched to establish availability of replacements
- Treatment/replacement decisions made
- Replacements purchased
  - Hard copy (titles or volumes)
  - Microform (titles, number of fiche, feet or reels of film)
- Replacements created
  - Photocopied (titles, volumes or exposures)
  - Microfilmed (titles, negative exposures, number of fiche or feet of positive film)

Physical care/treatment (some categories may be subdivided by commercial or in-house work, others by media or format - e.g., films, slides, etc.)

- Items cleaned
- Items repaired
- Volumes bound (or rebound)
- Leather bindings cleaned/oiled
- Items boxed or wrapped
- Items encapsulated
- Items deacidified (leaves, or volumes)
- Items restored

APPENDIX VII-3: Preservation Staffing Survey

This survey technique offers a method for developing a profile of the nature and present level of staff commitment to preservation activities. Adaptations will almost certainly be necessary to accomodate local organizational and procedural patterns.

Terminology in the field is still far from uniform. The following "scope notes" refer to categories on the sample work sheets, but may be modified to suit local conditions.

Professional/supervisory staff - professional librarians, conservators and specialists whose positions require graduate-level education and/or extensive technical experience; and "non-professional" supervisory staff in positions with major responsibilities for influencing the development of, and implementing, preservation policies and procedures

Supporting staff - clerical and technical support staff or student assistants, generally trained on the job and working under relatively close supervision

Volunteers - as the name implies: unpaid persons who regularly donate time to the library

Physical care of collections - shelving, storage and handling - cleaning - monitoring and controlling environmental conditions - disaster prevention and preparedness - identifying deteriorated materials

Physical treatment - protective wrapping, encapsulation or boxing - mending or repair of general materials - commercial bindery preparation - in-house binding of general materials - in-house binding or conservation treatment for special/rare materials

Brittle books/replacement program - searching to establish availability and condition of other copies - selecting treatment/replacement option - ordering and processing replacements - preparing materials for reproduction - photocopying for text preservation - microfilming

SAMPLE SURVEY WORKSHEET

Separate worksheets should be used for each category of staff (Professional/supervisory, Supporting, and Volunteer). For ease of collecting data, copies of the sheets might be completed for each organizational unit or location within the library system, with sub-totals compiled later. If desired, the survey can be limited to staff members regularly spending at least X hours/week on preservation activities.

	Average Time devoted to Preservation Work		
	Physical Care	Phys Treatment	Brittle Books
Name or Title	Hours/week	Hours/week	Hours/week
____________	______	______	______
____________	______	______	______
____________	______	______	______
____________	______	______	______
____________	______	______	______
____________	______	______	______
____________	______	______	______
	==============	==============	==============
Total Preservation hrs/wk	______	______	______

To calculate the number of full-time equivalent staff devoted to preservation work:

	Pres hrs/wk		Pres FTE's
Physical Care	______}		{______
Physical Treatment	______}	Divide by total hours in standard work week:	{______
Brittle Books	______}		{______
	==========	÷ ______	==========
TOTAL for all activities	______}		{______

STAFF SURVEY SUMMARY WORKSHEET

	Phys Care		Treatment		Brittle Bks		TOTAL	
Prof/supervisory FTE	______	+	______	+	______	=	______	FTE
Supporting staff FTE	______	+	______	+	______	=	______	FTE
(Volunteers FTE	______	+	______	+	______	=	______	FTE)
	===							
TOTAL	______	+	______	+	______	=	______	FTE

To calculate the percentage of total staff time devoted to preservation:

$$\frac{\text{Preservation FTE's}}{\text{Total staff FTE's}} = \text{\% of staff devoted to preservation}$$

To **estimate** the staff costs attributable to preservation:

Preservation % of staff X Total salary budget = Preservation staff $

This will provide only a gross approximation of actual staff costs, because there may be large differences between the salaries of those spending a significant percentage of their time on preservation activities and the rest of the staff. Reliability is likely to vary directly with the both the size of the salary budget and the percentage of total time spent on preservation work. **Be sure to exclude volunteer time, if any, from these calculations.**

APPENDIX VII-4: Checklist for Gathering Preservation Budget Data

Staff salaries

(see Appendix VII-2 for a method of estimating this)

Contractual preservation services

Since these are generally billed directly to the library, it should be possible to locate figures, even if there is not a separate account or budget line. Services to look for include:

- commercial library binding
- conservation treatment (private conservators, regional centers)
- microfilm service agency
- preservation consultants

Replacement

Some acquisitions budgets include separate accounts for replacements. When this is not the case, discussion with selection officers and acquisitions staff may provide some indication of the level of expenditures for microform and hard copy replacement.

In-house microfilming and photocopying costs include salaries (see above), supplies (paper, toner, film, chemicals) and equipment (service contracts, amortization). The latter may be buried in general accounts, but estimates can be made based on discussion with appropriate staff.

Replacement expenditures may include:

- microform subscriptions in lieu of binding
- orders for replacement of damaged materials
- preservation microfilming (in-house, or contractual)
- in-house photocopying for text preservation
- processing (i.e., cataloging, marking, etc) replacement items

Repair/Treatment

Mending, binding or conservation treatment, including:

- contractual services (see above)
- salaries (see above)
- supplies and equipment (may be buried in general accounts; estimates can be made based on discussion with appropriate staff)

APPENDIX VII-5: Sample outline for Organization Task Force Report

Introduction

- scope of the study
- description of methodology
- limitations or special features in the approach

Description of Current Preservation Activities

- policies
- organizational patterns
- procedures/programs
- staffing
- expenditures

Analysis of Preservation Organization Options

- strengths and weaknesses in present situation
- brief description of comprehensive program goals and alternative organizational patterns
- comparison with what already exists

Recommendations

- improvements in existing programs
- development of new programs
- adapting the organizational structure

Appendices (as appropriate):

- compilation of policy statement excerpts relating to preservation
- preservation expenditures
- organization chart or work flow diagrams showing distribution of preservation activities
- compilation of preservation excerpts from unit function statements and job descriptions
- list of in-house preservation instructions, manuals, etc.

CHAPTER VIII. PHASE II: TASK FORCE D - DISASTER CONTROL

INTRODUCTION TO DISASTER ISSUES

For purposes of the Preservation Planning Program, disaster control is defined as responding to those accidental calamaties that threaten the physical safety of materials in the library's collections. The most frequently cited and widely feared of these calamities is water damage, which may result from storm, pipe failure or fire hoses. Water, in quantity, is indeed a potent destructive agent to most library materials.

But there are other forces which can do equal harm. Fire destroys much, chars more and generally leaves all materials with an unpleasant smoke odor, besides creating the water problems associated with extinguishing it. Earthquakes, shelving collapse, and even the physical upheaval involved in large scale moving of collections can cause severe damage to the structure of materials. Dust storms and volcanic ash fallout, though uncommon, deposit abrasive particles mildly damaging to books and other paper-based records and very destructive to film, tape and electronic media and equipment.

Disaster control encompasses three distinct activities: prevention, preparedness and response. The first two should be on-going programs. The effectiveness with which they are carried out will directly influence both the frequency with which the third is needed and its quality. There is a dilemma, however, for disaster control activities seem remote from the daily responsibilities of the library. Attending to the location of pipes and fire extinguishers, stockpiling clean newsprint and maintaining an emergency telephone list do not get books cataloged or patrons served. Too much attention given to disaster-proofing the library may be as wasteful of the library's human resources as too little is dangerous to its material resourses. A sensible balance must be struck.

Preventive activities, once they have been identified, can generally be built into the institution's on-going maintenance routines, with the provision that - unlike painting or periodic refurbishment - they must not be put on the "deferred maintenance" list in economically straitened times. Preparedness involves creating and periodically up-dating contingency plans, assembling a few emergency supplies and lining up sources for more should they be needed. Response will then take care of itself, if an appropriate number of people are - and remain - informed.

PROBLEMS IN STUDYING THE LIBRARY'S DISASTER CONTROL CAPABILITY

The variety of potential calamities can make it difficult to focus on the elements that should be included in a responsible plan. It doesn't take long to develop a discouraging list of "what would we do if this, that or the other happened". Theoretical possibilities need to be kept in perspective by comparison with actual incidents in which materials have suffered damage in the recent past.

A second problem lies in the uniqueness of each accident. Contingency plans must be flexible, heavy on general principles and light on minute details. An intricate plan for deploying a hundred volunteers to move soaked materials from the central stacks will be of little use if the accident involves an upset bucket of detergent that has drenched five boxes of priceless manuscripts.

A third problem relates to the seductiveness of the topic. As we get high on adrenalin when disaster first strikes, so we can relish the intricacies of developing a truly comprehensive plan. Several institutions have foundered when a committee appointed to develop a disaster plan has ended up recommending yet another disaster planning study.

ASSUMPTIONS UNDERLYING THE DISASTER CONTROL INVESTIGATION

Several assumptions shape the investigation and should influence the analysis and recommendations:

- most libraries are not adequately prepared for accidents which threaten the collections, thereby irresponsibly endangering those materials;

- group study of the subject in itself enhances the library's preparedness, since informed people are the single most important factor in successful response to emergency;

- protection against and recovery from water damage should be emphasized, since that is the most common danger, but other potential dangers should also be included in contingency planning;

- contincency plans for coping with emergencies not directly affecting the collections (medical emergencies, elevator breakdowns, disturbed patrons, etc.), though needed by most institutions, are not within the scope of the Preservation Planning Program.

Finally, this module of the Preservation Planning Program differs from the others in that the task force will actually initiate some of the activities its review shows to be needed, in addition to recommending future actions. As a result, one element of a comprehensive preservation program should be in place at the conclusion of the planning study.

ORGANIZING THE DISASTER CONTROL STUDY

A task force investigates the library's disaster control capability on behalf of the study team, and develops recommendations for improvements which the team will use in preparing its final report to the library director. A major element of this work is creating the framework of a local disaster plan.

The task force is generally chaired by a member of the study team, and includes four to seven people, depending on the extent of the facilities and the scope of the investigation. The group should include, or have access to, people with a broad knowledge of the library's facilities and collections, and familiarity with existing emergency plans or previous disaster experience. In some instances, the appointment of an officer from the institution's safety office or building department as consultant or member of the task force may be valuable.

Upon appointment, members of the task force should inform themselves about the issues through study of this manual (concentrating on chapters I, III, VIII and the beginning of X), appropriate sections of the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK, and the background paper prepared by the study team. Six to ten weeks may be alloted to conducting the investigation and preparing a report. The study team establishes the deadline, and the task force is responsible for setting its own schedule to accomplish the work within that period. The consultant may meet with the task force to review basic disaster control principles and develop an action plan for the investigation.

STEPS IN THE INVESTIGATION

ASSESSING CURRENT VULNERABILITY

To establish a framework for its work, the task force begins by compiling a list of the kinds of disasters, crises and accidents that could have a detrimental effect on materials in the collections. About each of these potential dangers, the group might briefly consider:

- how likely is it that this might happen here?

- what kind of damage would it cause to various types of materials?

- can it be prevented? if so, how? if not, are there protective measures which can be taken now to reduce damage to materials if/when it happens?

- if it happened, what would have to be done to repair the damage? what resources would be needed? would speed be a critical factor?

To determine the library's current level of preparedness for such disasters, the task force should assemble information about accidents or disasters within the last five to seven years in which materials were actually damaged. After discussing probable sources for this information, individuals or sub-groups should be assigned to gather it. This survey should be coordinated with the investigation of the environmental task force, which will be examining the library's physical facilities in a complementary way.

Each significant historical incident is then discussed by the whole task force, considering the following questions:

- could it have been prevented? if not, what protective measures taken ahead of time might have reduced the damage?

- was the response to the problem timely? effective? well-organized? were necessary resources and expertise available? who was in charge? was help needed from outside the library?

- was there any follow-up to prevent a recurrence?

- do any disaster plans now exist? are they current?

- does anyone within the library or parent institution have special responsibility for dealing with such emergencies?

- is adequate expertise available? is its availability known to the appropriate people?

- are sources for emergency supplies and equipment known?

- how well-informed is the staff about emergency procedures?

From this analysis, the task force should be able to produce a listing of the major strengths and weaknesses in the library's present capability to protect its collections from accident and disaster. If the review demonstrates that the library is well prepared, the task force simply documents this in its report to the study team. In most cases, however, deficiencies will have been discovered.

OUTLINING A DISASTER PLAN

The task force should now be ready to outline a plan which will improve the library's ability to prevent and respond to disasters. Guided by its findings about the present situation, and its study of case histories and disaster plans from other institutions, the group should decide on the elements to be included in a local plan. These will generally include:

- developing procedural instructions for staff on first steps in response to discovery of a problem;

- preparing a list of staff with key responsibilities or expertise to be called on for assistance;

- assembling a list of emergency supplies to be stocked at all times;

- compiling a list of sources for prompt acquisition of additional supplies, equipment or assistance when needed;

- establishing guidelines for determining salvage priorities in the event of a major disaster;

- planning periodic training or awareness sessions to keep all staff informed about emergency procedures;

- developing a mechanism for periodic review and updating of the plan.

The task force should discuss in some detail the desired scope of each section, the types of information needed and probable sources for it, and the degree of consultation with other staff which is appropriate to ensure coordinated and acceptable planning. Individual assignments for gathering the necessary information and drafting sections of the plan are made.

The whole task force reviews the draft sections, revising them as needed to fill gaps or eliminate overlap. The time table for the task force's work may not allow for the completion in detail of all sections of a disaster plan. For example, it may not be possible to locate complete source information for all emergency supplies, or to develop telephone lists and salvage priorities for every major unit in the system. Identification of such missing elements leads into the next phase of the task force's work.

DETERMINING FUTURE NEEDS

Reviewing its findings and accomplishments thus far, the task force should analyze remaining needs, focussing on prevention and on-going readiness:

- what needs to be done to complete the disaster plan outlined by the task force?

- what methods might be used to introduce the plan to the staff? to insure that new staff learn about it? to remind staff about it in the future?

- what mechanisms are needed to keep it up to date? where in the organization might responsibility for this be assigned?

- what topics - types of calamities or salvage of certain formats - were not adequately covered in this study? how might they be addressed in the future?

- what preventive measures need to be taken to reduce the likelihood of disaster? are there spaces that appear especially vulnerable to certain kinds of disasters? are there collections deserving of special protection due to their value or uniqueness?

- is fire protection adequate? is maintenance adequate to control all sources of water adjacent to materials? are the collections insured?

- which units or persons within the library or parent institution have or might assume responsibility for each preventive measure? is periodic monitoring or inspection desirable?

From this analysis the task force should be able to list specific needs for achieving and maintaining an appropriate level of disaster prevention and preparedness. Because the findings will probably cover a great number and variety of topics, the task force will have to strike a balance between sweeping generalizations and the minutiae of repairing this leaky gutter or replacing that fire extinguisher. This balance will be easier to achieve by emphasizing the establishment of an on-going process of disaster control.

DEVELOPING RECOMMENDATIONS FOR IMPROVED DISASTER CONTROL

By now the task force should have learned a great deal about the library's vulnerability to accidents endangering the collections, about prevention, protection, contingency planning and recovery methods. It will have identified strengths and weaknesses, gained some understanding of the organizational factors involved, and accumulated a valuable store of technical information to support decision-making and action in various crises. With this preparation the task force can now draft recommendations for improvement.

Successful recommendations strike a balance between the ideal and what the library can realistically expect to accomplish. The study team has the final responsibility for integrating the findings and recommendations of the task forces, but the task force provides the information upon which those decisions are made. Its report should document what would be required to achieve an optimum level of disaster control, and suggest interim or compromise measures which take account of the constraints and limitations facing the library. Some of these will be physical, some economic. Some may be overcome in the short or long term, while others - location within tornado country or on a flood plain - will remain outside the control of the library.

Desirable activities can be organized into categories - by function (e.g., preventive, remedial), or by potential hazard (e.g., aged plumbing, fire) - as a basis for recommendations which should combine broad goals with specific objectives. Spelling out the relationships between the desired change and the methods for achieving it will aid in avoiding the presentation of massive shopping lists or vague restatements of principles.

For example, rather than recommending that the library install a Halon system in the rare book library, replace the faulty fire sprinklers in the science stacks and insure the collections, the recommendation might read:

> The library should implement a comprehensive fire prevention and insurance program for the collections, with first priority given to the Rare Book Library and the collections housed in the wooden Old Main building. Steps toward this goal would include:
>
> - requesting a fire prevention audit from the local fire department;
>
> - hiring a risk management specialist as technical consultant to evaluate the condition and reliability of existing detection and extinguishing systems;
>
> - assembling data from the present insurer and one or two competetitors on insurance packages and rates for collections protected in various ways;
>
> - working with the parent institution's safety office to develop a phased program of upgrading systems in each building;
>
> - investigating the feasibility and costs of providing Halon protection for portions of the Rare Book Library;
>
> - etc...

Such a recommendation identifies and describes the problem and suggests options for dealing with it, rather than just telling the administration what to do. Recommendations should also be accompanied by any information the task force has uncovered about cost figures, side benefits and adverse consequences. For example, the supporting data might point out that one insurance company refused to write a policy for the science collections because its inspector found the sprinkler system to be inadequate, or that an $X-thousand Halon system can be justified for the protection of a $X-million collection.

Taken as a whole, the draft recommendations should summarize the task force's findings and judgments about priorities and approaches for improving the library's ability to prevent and respond to disasters endangering the collections. Final judgment on specific recommendations, as well as strategies for implementation, are the responsibility of the study team.

REPORTING TO THE STUDY TEAM

The task force report to the study team should follow any guidelines which were established by the team or set forth in the charge. It should include:

1) a brief description of the task force methodology;

2) an analysis of the present vulnerability of the collections;

3) the disaster plan outlined by the task force;

4) a presentation of recommendations for improvement.

A sample outline appears in Appendix VIII-2; it should be adapted to suit the actual data and nature of the recommendations. The report might also incorporate, where appropriate, information on the probable consequences of various changes, reference to possible constraints, and comments on the risks involved in taking no action.

The task force report is a working paper; its contents should be logically organized and clearly expressed, but its prose need not be highly polished. Final recommendations for change will be made by the study team after it has met with and analyzed the reports of all the task forces.

APPENDIX VIII-1: Sequence of Tasks for Disaster Control Study

Preparation
- Read manual, resource notebook and background paper
- Plan activities and assign initial tasks

Brainstorm potential disasters

Investigate library's response to past disasters
- Identify information needed and probable sources
- Assign individuals/sub-groups to collect it
- Assemble and analyze information

Outline disaster plan
- Decide on elements to be included
- Determine information needs and probable sources
- Assign information gathering and drafting responsibilities
- Review and revise draft sections of plan

Determine remaining needs

Develop recommendations

Prepare report to study team
- Outline contents & assign drafting responsibilities
- Review/revise sections as completed
- Complete report and submit to study team
- Prepare presentation to joint study team/task forces meeting

APPENDIX VIII-2: Sample outline for Disaster Control Task Force Report

Introduction

- scope of the study
- description of methodology
- limitations or special features in the approach

Analysis of vulnerability of the collections

- geographical/climate factors
- condition of buildings
- highlights of recent accidents damaging materials
- description of present state of preparedness

Outline of Disaster Plan

(this might appear in the body of the text, or be referred to briefly and included as an appendix to the report)

Recommendations

- disaster-proofing the facilities
- educating the staff
- maintaining an acceptable level of preparedness in the future

Appendices (as appropriate):

- excerpts from existing documents dealing with emergency procedures
- brief chronology of recent disasters
- disaster plan (if not included in text)

CHAPTER IX. PHASE II: TASK FORCE E - PRESERVATION RESOURCES

INTRODUCTION

Because of the relative novelty of preservation as a serious library activity, there is not yet a substantial body of resources -- information, services, products, educational opportunities, and knowledgable people -- for use in developing preservation programs. By comparison with areas such as cataloging or reference work, the field of preservation appears primitive indeed. The difficulty in tracking down answers to "what to do", "how to do it" and "what to do it with" questions has seriously delayed the organization of effective programs, even in libraries which have committed much staff time to the effort.

Resources do exist, and their number and value are growing rapidly; but they are only beginning to reach the mainstream of professional consciousness. Consequently, a crash program of indentifying available preservation resources which can be used in subsequent program development can have a dramatic effect on a library's ability to move forward rapidly. Though the process may produce frustration and disappointment over the quality of a few products, services or publications, it is also likely to generate optimism and confidence through the discovery of previously unsuspected tools for support of the library's preservation activities.

The work of this task force, in fact, might better be considered an investigation of preservation opportunities, rather than needs. It will provide many of the tools with which recommendations developed by other tasks forces can be implemented. The resources task force may also find itself called upon during the Preservation Planning Program itself to assist other task forces in locating resources needed to carry out their investigations.

In the context of this chapter, the term "resources" includes but is not limited to published information sources. It excludes financial resources for the support of preservation program development, except in the most general way.

PROBLEMS IN IDENTIFYING PRESERVATION RESOURCES

The major problem facing this task force arises from the fact that there are so many different kinds of resources that may be valuable for preservation work - materials, supplies, equipment, contractual services, information about procedures, sources of expertise on specific topics, etc.. The task force cannot hope to develop comprehensive, detailed information about every topic. On the other hand, librarians sometimes fall into the trap of feeling that questions are adequately answered when a long bibliography can be produced. The task force must strike a balance between trying to develop an exhaustive data bank of information and building a huge catalog of citations to that information.

Related to this is the problem that tracking down so many different kinds of resources requires search stragegies that go beyond "ordinary" reference work. The acquisition or creation of lists of local suppliers and service agencies, product specifications, or a directory of community and regional resource people, require much personal contact, telephoning and correspondence, which are not only time-consuming but often prove to be inconclusive.

Finally, the more successful the task force is in identifying resources, the more difficult it will be to organize and present such information, and information about information, in a usable form.

ASSUMPTIONS UNDERLYING THE INVESTIGATION OF RESOURCES

The inclusion of the resources investigation in the Preservation Planning Program is based on several assumptions:

> - most libraries have not systematically collected and organized a wide range of tools and information resources which can support preservation work, although many will be found scattered throughout the system;
>
> - use of such resources as presently exist within the library is likely to be uncoordinated;
>
> - identifying available resources will enhance preservation activities by improving staff knowledge and making improved supplies, techniques and procedures more accessible.

Like the Preservation Planning Program as a whole, the resources investigation will be an intensive educational experience for those involved, and is likely to produce both the satisfaction and frustration normally accompanying such experiences: satisfaction over learning new things and discovering better ways of meeting professional responsibilities, and frustration arising from increased awareness of how much more needs to be learned. Neither task force members nor the study team can expect to become "experts" in preservation during the course of the planning program, but they can master the basics and identify the resources for continuing education in the future.

ORGANIZING THE INVESTIGATION OF RESOURCES

The task force searches out preservation resources on behalf of the study team, and develops recommendations for continuing that search and making use of the resources, which the team will use in preparing its final report to the library director. The task force is generally chaired by a member of the study team, and includes four to seven people. The group should include, or have access to, people with good reference skills, a comfortable telephone manner, ingenuity in recognizing preservation applications in things with other names, and as much previous background in preservation as is available.

Upon appointment, members of the task force should inform themselves about the issues through study of this manual (concentrating on chapters I, III, IX and the beginning of X), the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK, and the background paper prepared by the study team. Six to ten weeks may be alloted to conducting the investigation and preparing a report. The study team establishes the deadline, and the task force is responsible for setting its own schedule to accomplish the work within that period. The consultant may meet with the task force to review basic sources and develop an action plan for the investigation.

STEPS IN THE INVESTIGATION

DEFINING THE UNIVERSE

To establish the scope of its investigations, the task force begins by discussing the variety of resources that might be valuable in operating a preservation program. The checklist in Appendix IX-2 and the contents of the PRESERVATION PLANNING PROGRAM RESOURCE NOTEBOOK will provide a starting point for this discussion, which should be enriched by members' knowledge of resources already in use within the library. A preliminary list of desirable resources might be shared with staff members actively involved in preservation activities, who can be asked for suggestions about additional resources for which they feel a need, and for ideas on potential sources, contacts or information about any item on the list.

Potential resources should be organized into categories (background information, supplies, human resources, etc), and ranked according to their probable value to the library at its present stage of preservation program development (e.g., technical reports on conservation treatment of daguerrotypes may not be urgently needed in a library with a single part-time "mender"). The group should then determine the level of specificity appropriate to its investigation of the availability of each. For example, tracking down the distributor of a particular type of book-end or binding knife may be inappropriately time-consuming, but assembling current catalogs from suppliers of binding tools and library furniture may be valuable.

Preliminary discussion of the eventual format(s) to be used in assembling and presenting the findings should take place. A card or vertical file may be best for some things, typed lists or up-datable documents in a word processor or microcomputer might be better for others. Tentative agreement on final format can simplify both data-gathering and compilation.

THE SEARCH

Having identified the kind and level of information it seeks, the task force should discuss probable sources and methods of collecting it. Much will be findable through the literature, but much more will have to be located through personal contacts both within and outside the library. Because of the time constraints on the task force, telephone contact will generally be more effective than correspondence; and some visiting of institutions or firms in the area may also be useful. The search should begin with those things already within the library, noting whether and how they are now being used.

Priority must also be given, as required, to the resource needs of the other task forces. Assignment of resource task force members as liaisons to other groups may be useful, particularly if data-gathering assignments are divided along topical lines (e.g., environment, physical treatment, etc) rather than by type of information (e.g., contact people, services, literature).

ORGANIZING THE FINDINGS AND ANALYZING USEFULNESS

At the conclusion of the data-gathering phase, all the information collected about potential resources should be presented for discussion by the whole task force. Since much of the data-gathering and preliminary analysis will have been done by individual members or sub-groups, all task force members should have an opportunity to review the data before the meeting. During the discussion, the following questions should be addressed:

- what patterns of resource availability can be discerned? are there any big surprises?

- what types of resources appear most readily available? to what extent are they currently being used within the library?

- what resources might have the greatest impact on preservation activities in the library? how might they be acquired and introduced most effectively?

- what types of resources appear to be scarce or not available at all? which activities are likely to be most affected by this lack? is there reason to hope this will change in the future?

- what kinds of resources could not be thoroughly investigated? how might they be pursued in the future?

Following this analysis, the task force should reconsider the final format in which its findings are to be presented, in light of the potential uses for them which appear most promising, for support of current activities or to aid in developing expanded programs.

DEVELOPING RECOMMENDATIONS

By now the task force will have developed a large body of information. Members will have identified the strengths and weaknesses in the way resources are presently being used, and should have a number of ideas about how newly discovered resources might be employed to improve procedures, develop skills and guide the development of preservation policies and programs.

With this preparation the task force can now draft recommendations for follow-up to its work. For each major category of resource, the group should consider:

- how might this be used to enhance which specific preservation capability in the library?
- what pros and cons might be involved (disruptions in existing procurement procedures vs. wider choice of supplies; improved performance through use of training materials vs. staff resistance to change, etc)
- how do the resources rank in terms of potential impact on the library's procedures and/or improvement in care or treatment of the collections
- how do they rank in terms of ease of acquisition or use?
- how can the resources assembled thus far be made known to those in most need of them?
- what mechanisms might be most effective for up-dating and expanding the collection?

Successful recommendations strike a balance between the ideal and what the library can realistically expect to accomplish. The study team has the final responsibility for integrating the findings and recommendations of the task forces, but the task force provides the information upon which those decisions are made. Its report should document what would be required to enable the library to take advantage of the rapid growth in all kinds of resources for supporting preservation activities.

Recommendations should combine broad goals with specific objectives. Spelling out the relationships between the desired change and the methods for achieving it will aid in avoiding the presentation of massive shopping lists or vague restatements of principles.

For example, rather than recommending that the library show slides on proper handling, send staff to visit a commercial binder, and invite a library school professor to conduct a workshop on preservation, the recommendation might read:

> The library should integrate technical and theoretical training in preservation into its staff development program in order to broaden the awareness of all staff about the range of preservation concerns and to ensure that programs are based on the best available technical information. Training needs fall into two distinct areas: general awareness for all staff, and specific in-depth training for those involved in daily preservation activities. Elements within this program might include:
>
> - acquiring the Yale slide-tape presentation on handling materials for use in new staff orientation and training of circulation assistants;
> - sponsoring staff participation in the up-coming preservation workshop at XX;
> - arranging a series of tours for appropriate staff members to the local bindery, microform service agency, private conservator's lab, and Library Y's preservation department;
> - inviting representatives from several archival supply houses to demonstrate the use of their products to appropriate groups of staff;
> - including abstracts of important preservation publications, and notices of up-coming preservation meetings and workshops, in the library newsletter;
> - etc...

Such a recommendation identifies and describes a need and suggests options for dealing with it, rather than just telling the administration what to do. Recommendations should also be accompanied by any information the task force has uncovered about cost figures, side benefits or adverse consequences. Taken as a whole, the draft recommendations should summarize the task force's findings and judgments about what is now available, how it might be used, and how the library can maintain its awareness of new developments. Final judgment on specific recommendations, as well as strategies for implementation, are the responsibility of the study team.

REPORTING TO THE STUDY TEAM

The task force report to the study team should follow any guidelines which were established by the team or set forth in the charge. It should include:

1) a brief description of the task force methodology;

2) a general description of the resources assembled or identified by the task force;

3) an evaluative discussion of the degree to which the library has been able to take advantage of such resources in the past;

4) a presentation of recommendations.

A sample outline appears in Appendix IX-3; it should be adapted to suit the actual data and nature of the recommendations. The task force report is a working paper; its contents should be logically organized and clearly expressed, but its prose need not be highly polished. Final recommendations for change will be made by the study team after it has met with and analyzed the reports of all the task forces.

APPENDIX IX-1: Sequence of Tasks for the Resources Investigation

Preparation
- Read manual, resource notebook and background paper
- Plan activities and assign initial tasks

Determine the scope of the investigation
- Brainstorm potential resources
- Rank probable value and determine level of information desired
- Identify probable sources
- Discuss format options
- Assign individuals/sub-groups to collect information

Assemble all resources/information about resources

Task force analysis of data
- All members review data
- Discuss; identify major strengths and gaps
- Determine major goals for use and up-dating of collection

Develop recommendations
- Brainstorm objectives
- Analyze and rank potential approaches
- Draft recommendations

Prepare report to study team
- Outline contents & assign drafting responsibilities
- Review/revise sections as completed
- Complete report and submit to study team
- Prepare presentation to joint study team/task forces meeting

APPENDIX IX-2: CHECKLIST OF POTENTIAL PRESERVATION RESOURCES

Internal resources which may not be currently used for preservation

- staff members with particular skills, knowledge
- space or equipment not used to capacity

Training and continuing education for current staff

- audio-visual training aids
- visits to binders, museum conservation labs, other library preservation programs
- temporary exchange of staff with other libraries
- staff meetings on aspects of preservation, conducted by staff members or outsiders
- preparation of handbooks, manuals, policy statements, with a formal mechanism for introducing, disseminating and follow-up training
- building up local preservation reference collection, with mechanism for active use (e.g., someone responsible for review and dissemination of new information)

Sources of supplies and materials

Sources of expertise and services

- from parent institution (if academic)
    - materials testing from chemistry department
    - environmental monitoring devices from science department or buildings maintenance
    - reproduction services from campus copy center
    - support for policy change or fund-raising from concerned faculty, students, alumni

- from surrounding community
    - commercial binderies, microform service bureaus
    - hand binders, private conservators
    - regional conservation center
    - staff at neighboring libraries, museums, historical societies, archives

- from network or cooperative
    - share results of investigations of local services, product testing, procedural development
    - exchange staff
    - coordinate replacement/microfilming priorities
    - share cost and use of consultants, special staff & equipment, training workshops

- from other institutions, professional organizations
    - standards, product testing
    - advice, consultation
    - conferences, contacts with others in preservation
    - publications

APPENDIX IX-3: Sample Outline for Resources Task Force Report

Introduction

- scope of the study
- description of methodology
- limitations or special features in the approach

Description of Resources

(this will generally be a brief description of the resources assembled by the task force, with an explanation of where they are and how they are arranged)

- informational resources (publications, people, etc)
- preservation services
- preservation supplies, materials, equipment
- miscellaneous resources
- prospects for additional resources in the near future
- desirable resources not readily available

Recommendations

- making use of present resources
- maintaining awareness of new or improved resources
- stimulating creation of needed resources

Appendices (as appropriate):

- subject terms used in resource file(s)
- examples of major types of materials/information/tools found
- list of serials that are/ought to be received to maintain current awareness

CHAPTER IXA. PHASE II: TASK FORCE F - STAFF AND USER EDUCATION

INTRODUCTION TO EDUCATION-RELATED ISSUES

During the past decade many libraries have undertaken preservation planning studies, with the result that the number of formally established preservation programs has increased slowly but steadily. The commitment to maintain library collections in usable condition cannot be met, however, solely by establishing, upgrading, or expanding the operational units that comprise a preservation program (e.g., conservation, reprography, and bindery preparation)--however extensive and sophisticated those efforts might be. Much of the work of such units is remedial, and takes place after time, improper storage conditions, and careless handling have rendered library materials fragile and damaged.

In order to minimize the number of materials that require remedial treatment or reformatting, and to maximize the possibility that any given item remains in usable condition and readily available to readers, a preservation program must have a positive effect on the condition of a library's collections from the moment each item is acquired. Such a goal is neither easily nor wholly achievable, but is well worth pursuing. The degree to which a preservation program can be fully implemented is directly related to staff and user education. The people who work in and use a library must understand the role that they can play in extending the useful life of books, papers, and other materials; and be willing to act on that understanding.

While setting institutional policy aimed at preserving library collections would appear to be an indisputably wise and saleable management strategy, several factors conspire to complicate the task of teaching people to modify habits that exacerbate preservation problems. First, we live in a time and place where shared resources are rare. We are used to owning things, and treating them as we see fit. The idea that a borrowed book is the property of many, and the right to consult it a privilege, does not necessarily come naturally to the modern reader. Nor, then, does a sense of responsibility for ensuring that library materials are passed on from reader to reader in unchanged condition. Occurrences of highlighted text and marginalia, for example, are sometimes so common as to appear to be legitimate study aids.

Second, the principles that underlie guidelines for proper care and handling of library materials are not widely known. At no point during the course of a typical elementary, high school, or college education are students taught how to handle and store books and papers in non-damaging ways. For the most part, these and other media are valued for the information they contain. Unfortunately, that information becomes endangered when the physical aspects of a library collection are ignored. The work of providing preservation-related education for library users of all ages, and library staff, is formidable.

Third, adherence to guidelines that result in improved maintenance of collections is often troublesome, time consuming, and/or costly. It is easy to stretch a rubber band around six loose journal issues that are being prepared for commercial binding; tying them together with cotton string, which is a less damaging means of preparing them for shipping and processing, is more difficult and takes more time. Similarly, books can be reshelved most conveniently if they are first placed on their fore edges (i.e., spine up) along the top shelf of a book truck so that call numbers can be read easily. While fore edge shelving weakens books in the hinge area, to avoid it is to tolerate a minor but routine annoyance--repeated bending to read the spines of books shelved upright.

Experience has shown that staff members must not only learn new ways of working, but must be educated to the extent that they buy into the library's preservation effort and choose to participate. The same principle holds true with readers.

The benefits of educating library staff and users regarding preservation principles and practices are many and varied. For example:

.A staff member who can identify a text block that is loosening slightly in its case will send it to the repair unit for hinge tightening--a five minute procedure. When minor structural problems go unrecognized, a single additional circulation often results in the need to recase the text block (which can take forty minutes or longer), or to send it out for commercial rebinding (which results in alteration of the original format).

.A curator who is aware of the damage that acidic file folders, envelopes, and boxes do to library materials will order protective enclosures that are manufactured from alkaline/buffered papers and board; and needless destruction of paper, books, and film will be avoided.

.A reading room supervisor who has learned that light not only fades and discolors paper, cloth, and leather--but that it also speeds up the chemical reactions that cause these materials to deteriorate--will be inclined to use existing window shades, blinds, and curtains to protect library materials from direct sunlight.

.A researcher who has seen a photograph of the contents of a book drop bin that is filled to capacity--the pages of books creased and crushed, and bindings distorted out of shape--will be more likely to return materials to the circulation desk. Use of book drops results in a high incidence of structural damage to bound volumes, and undermines the impact of a sound conservation treatment program.

.A student who has reflected on the collective value of research library materials may be less inclined to rip a chapter out of a book--and may photocopy it instead. Vandalism cannot be eliminated, but it can be controlled through widespread consciousness raising. Appreciation for research libraries can be enhanced by calling attention to the fact that most materials are acquired for permanent retention; and that a high percentage of research library holdings is difficult or impossible to replace.

.A faculty member who has read the results of a condition survey conducted in the library, and who is informed regarding the library's efforts to upgrade and expand its collections maintenance activities, is likely to be responsive to the suggestion that a segment on proper care and handling of library materials be included in an appropriate core course.

PROBLEMS IN STUDYING EDUCATIONAL ACTIVITIES

Identifying and documenting the library's efforts to educate staff and users regarding preservation issues is made difficult by the lack of published resource material to which to refer. The task force will have to rely largely on SPEC Kit 113, "Preservation Education in ARL Libraries" (Washington, D.C.: Association of Research Libraries, Office of Management Studies, April 1985), the file of supporting materials related to that SPEC Kit (available from the Association), and a selection of preservation-related audiovisual programs to provide background information and general guidance.

Furthermore, educational and consciousness raising activities can be very subtle, and are not necessarily easy to identify. For example, distribution of plastic bags on rainy days, for the protection of circulating materials, suggests to the borrower that those materials are valuable and that the library expects users to safeguard them. Likewise, maintenance of clean, orderly stack areas conveys the message that library materials are important and worth the resources it takes to house them properly. Conversely, when book stacks are dirty and in disarray, collections lose the aura of specialness and a casual attitude toward them is reinforced.

Last, educational activities can take many forms and be directed toward various audiences. It is important to identify a wide range of methodologies and target groups before the investigation begins so that task force members are alert to possibilities.

ASSUMPTIONS UNDERLYING THE INVESTIGATION OF EDUCATIONAL ISSUES

Several assumptions shape the investigation of the task force and should influence its analysis and recommendations:

- .If the importance of proper care and handling of library materials is brought to the attention of staff and users, and people are taught how to treat collections responsibly, most will.
- .Providing library staff and users with information regarding preservation of library materials will result in better tended collections--both in the library where that information is made available, and in other libraries where informed people may later work or study.
- .It is possible, through discussion, surveying, and observation, to discover the degree to which preservation-related information is currently being disseminated throughout a library.
- .It is possible, by reviewing the work of other libraries and becoming familiar with available training tools, to determine what preservation-related information should be conveyed to library staff and users, and what methods might be appropriate for reaching particular target groups.
- .Affordable means of educating library staff and users can be identified and acted upon.
- .The task force assigned to document evidence of preservation-related education within the library, and to recommend additional training and consciousness-raising mechanisms, must recognize that expanding the scope of the library's efforts will require thought, planning, and at least a modest budget. Furthermore, responsibility for setting priorities and coordinating activities must be assigned to a staff member or a committee.
- .Because a library's staff and user population is in constant flux, and because our knowledge of methods for maintaining library collections in usable condition is constantly expanding, the work of educating people regarding preservation practice is unending. The task force must therefore plan accordingly.

ORGANIZING THE INVESTIGATION

On behalf of the study team, a task force conducts an investigation to assess the nature, scope, and effectiveness of the library's efforts to provide preservation-related training for staff and users. The task force analyzes its findings and drafts recommendations for developing a comprehensive education program, which the study team will use in preparing its final report to the library director. The task force is generally chaired by a member of the study team and includes four to seven people, depending on the size of the facilities and the extent of the investigation.

The group should include, or have access to, people who know how the library's collections are used, and by whom; who have a broad knowledge of library staffing patterns and the major day-to-day responsibilities of each unit and sub-unit within the organization; and who have a general interest in teaching and training activities. If the library has a bibliographic instruction unit or committee, an office of education, or any other unit that is specifically responsible for training activities, a member of that unit would be a valuable addition to the task force.

Upon appointment, members of the task force should inform themselves regarding possible approaches to staff and user education through study of this manual (concentrating on chapters I, III, IXA, and the beginning of X), appropriate sections of the Preservation Planning Program Resource Notebook, and the background paper prepared by the study team. Six to ten weeks may be allotted to conducting the investigation and preparing the report. The study team establishes the deadline, and the task force is responsible for setting its own time table to accomplish the work within that time period. The consultant may meet with the task force to review approaches to educating staff and users and to develop an action plan for the investigation.

STEPS IN THE INVESTIGATION

IDENTIFYING APPROPRIATE TRAINING MECHANISMS AND TARGET GROUPS

Before the task force can conduct an informed investigation of the nature and scope of current library practice, it must first learn what constitutes appropriate preservation-related training and consciousness raising. As was mentioned earlier, there is little in the way of published information on this topic. The most fruitful approach to gathering data is to become familiar with the work of other libraries. There are several ways to do so:

.Study SPEC Kit 113, "Preservation Education in ARL Libraries" (see citation, p. 3), and ARL's file of supporting materials (as described on p. 3). The latter can be acquired by contacting the Office of Management Studies. In addition, the Preservation Planning Program Study Reports produced by the Ohio State University Libraries and Northwestern University Library (both published by the Office of Management Studies) include task force reports on "User and Staff Education/Awareness" and "Instructional Programs," respectively.

.Review at least three audiovisual programs that provide general information regarding care and handling of library materials, and that address both staff and users. Bibliographies of audiovisual resource materials are available from the Library of Congress ("Audiovisual Resources for Preserving Library and Archival Materials") and the Society of American Archivists ("Audiovisuals for Archivists"). The following resource materials may prove useful: The Care and Handling of Books (New Haven: Yale

University, 1980), Basic Conservation Procedures: Storage and Handling (Lincoln: Nebraska State Historical Society, 1981), Handling Books in General Collections (Washington, D.C.: Library of Congress, 1984), and Use or Abuse: The Role of Staff and Patrons in Maintaining General Library Collections (Carbondale, Ill.: Illinois Cooperative Conservation Program, 1986). The first three titles are slide-tape shows; the fourth is a videotape.

.Identify a limited number of libraries that may be similar in nature and size to the library in which the task force is conducting its work, but that have a more fully developed preservation program in place. Contact those libraries and request any preservation training material that may have been developed locally, or adapted from other sources. If one or two libraries with particularly strong programs are within commuting distance, site visits might be arranged.

Throughout this investigation a running list of ideas should be compiled. The more meticulously ideas are cataloged, the easier the follow-up work of the task force will be. Information might be separated into three categories, governed by these questions:

.What, precisely, can people be taught regarding the preservation of library collections? Items on the list will be extremely diverse, and need not be in any particular order at the outset. Appropriate inclusions might be: "Correct use of bookends;" "Correct technique for removing a single volume from a shelf;" "Hazards of exposing various media to heat, light, and excessive moisture;" "Importance of cleaning microform readers on a regular schedule;" "Damage done by inappropriate repairs, and the importance of reporting--rather than repairing--torn pages, dilapidated bindings, etc.;" "Problems associated with eating and drinking in libraries."

.What are the general categories of people who might be targeted for preservation-related education? In an academic research library these categories might include: a) library staff--general; b) library staff--people who work in units where materials are handled constantly, and in large numbers (e.g., shelvers, circulation desk attendants, plating and labelling staff); c) library staff--student workers; d) library users--general; e) library users--faculty (who, once educated, can share the task of educating students).

.What types of preservation-related training programs and materials have been, or might be, developed by the library? Included here could be: a) potential formats for conveying information (e.g., bookmarks, exhibits, manuals, computer assisted training, audiovisual programs, newspaper articles); and b) potential forums for conveying information (e.g., meetings of the library management group, staff orientation sessions, academic classes, reference seminars). For a list of suggested formats and forums, see Appendix IXA -2: Checklist of Formats and Forums for Educating Library Staff and Users.

After gathering and reviewing background information and compiling preliminary lists, it is worthwhile to use the brainstorming technique described in Appendix III-2 of this manual for the purpose of expanding the lists. It is important to keep in mind that the field of library preservation is fairly new, and that one can't assume that every sensible idea has been brought to light. In addition, local variation in library policy and practice makes it necessary to tailor ideas to suit particular situations.

ASSESSING THE LOCAL SITUATION

Once the task force has a clear sense of what it wants to know about local library practice, it conducts an investigation to determine:

.what is currently being done by the library in the way of preservation training and consciousness raising

.who is responsible for what preservation-related training activities

.who benefits from the training

.what activities should be added to those already underway

This information can be gathered through observation, by conducting formal and informal discussions with staff, and/or by distributing a written survey to all staff members or library units (depending on the size of the institution and scope of the investigation). All written and printed material that relates to preservation training and consciousness raising should be compiled.

Individuals or teams can be assigned to gather information. In a large library, one task force member might agree to make site visits to every building in the library system for the purpose of recording evidence of preservation training activities (e.g., signs, posters, handouts for readers); and evidence of the need for preservation training. Other task force members might agree to share responsibility for meeting with every unit in the library system (e.g., all departments and special libraries) to conduct interviews and gather information.

Should the task force decide to conduct interviews, a letter of intent signed by the chair of the task force might be sent to every individual who will be interviewed, before telephone contact with that individual is made. A detailed interview strategy should be developed so that uniform information is gathered.

A written survey may take the form of a checklist, questions that can be answered "yes" or "no," open-ended questions, or some combination of the above. However the investigation is conducted it should address the four questions above, and should allow for the free expression of ideas. A sample guide for surveying or interviewing is included in Appendix IXA-3.

ANALYZING AND ORGANIZING DATA

The data gathered through observation, interviews, and/or written surveys should be discussed by the entire task force. All task force members should have the opportunity to review interview notes, notes from site visits, and completed survey questionnaires before the meeting. During the discussion, the following questions might be addressed:

.Does the library's program for preservation education appear to be adequate? If not, how do expressed and observed needs synchronize with the lists developed prior to local fact finding? (Lists can be expanded to include new information.)

.Did the fact finding seem to indicate a general enthusiasm for and interest in preservation education, or a lack of interest? Do certain library units or individuals have less interest than they should, given their specific charges or job assignments?

.Are there particular units or buildings within the library system that appear to have unusual needs, or that appear to have needs more pressing than most?

.Do the data suggest priorities for initiating or expanding preservation training activities? What suggestions were raised repeatedly by interviewees or survey respondents? What ideas occurred repeatedly to task force members?

.Are there signs of change (e.g.,in the library as a whole, in a particular library unit, or in any segment of the user population) that would lead the task force to anticipate new or different needs for preservation education in the future?

.Who, in the past, has initiated preservation training activities? Who are the decision-makers in this regard? Have certain people played leadership roles?

.Which person or persons in the library might assume responsibility for developing, expanding, or coordinating an ongoing program for preservation-related education and training for library staff and users?

Following this analysis, the task force should consider the final format in which its findings are to be presented. An attempt should be made to identify the approach that appears most promising for support of current and recommended activities.

DEVELOPING RECOMMENDATIONS

By now the task force will have developed a large body of information. Members will have identified the strengths and weaknesses of the existing preservation training effort. They will also have gained an understanding of the numerous elements that figure in the design of a comprehensive training program, and the degree to which activities must be coordinated. The three lists that have been compiled (i.e., what can be taught, to whom it might be taught, and in what format and forum) will be invaluable aids in manipulating data, generating new ideas, and developing recommendations that are broad and inclusive. With this preparation, the task force can now draft recommendations for improvements. In the process, the following questions might be asked:

.What possible approaches might be taken to meet each of the major goals identified?

.What are the pros and cons of each approach?

.How do the potential approaches to meeting each goal rank in terms of beneficial impact on the collections?

.How do they rank in terms of ease of implementation?

Successful recommendations strike a balance between the ideal and what the library can realistically expect to accomplish. The study team has final responsibility for integrating the findings and recommendations of the task forces, but the task force provides the information upon which those decisions are made. Its report should document the nature of the existing preservation education program for library staff and users, and outline ways in which that program could be expanded to better meet the goal of lengthening the life of the library's collections. As with all such tasks, choices and compromises must be made so that the final recommendations of the task force are plausible, achievable, and affordable.

Desirable activities might be organized into categories: for example, by target group (e.g., undergraduates, researchers, library department heads); by nature/format of the training (e.g., printed materials, presentations by knowledgeable persons, computer-assisted training); or by topic (e.g., shelving, general handling, environmental control). Spelling out the relationships between the desired change and the methods of achieving it will aid in avoiding the presentation of massive shopping lists or vague restatements of principles. Recommendations should state a goal, propose a means of meeting it, and identify (if possible) the resources that are required for follow-through. When recommendations clearly suggest a substantial infusion of resources, budgetary issues might be acknowledged and recommendations for acquiring supplemental resources made when appropriate.

For example, rather than recommending that all student workers in all units of the library be trained, on a continuing basis, to handle materials properly, the recommendation might begin:

> "Student assistants make up a significant percentage of the library's work force. Because they are typically assigned to routine tasks, their work often entails constant handling of library materials. They are in a position, then, to influence the condition of the collections. Mistreatment will exacerbate already-severe collections maintenance problems; while adherence to handling guidelines, and the ability and willingness to identify damaged materials that require remedial treatment, can actually improve the condition of the collections.
>
> "The library should develop a mechanism for ensuring that each new student worker is taught how to handle library materials properly, and is informed regarding the basic principles of library preservation. The program should include the following elements:"

The justification might be followed by a few specific recommendations, chosen from among many options--keeping in mind that it is essential to establish priorities. Possibilities include:

> "Purchasing duplicate copies of The Care and Handling of Books and Handling Books in General Collections, and requiring that newly hired students view both programs as part of their orientation to library employment. Students retaining their positions in the library for more than a year would view the programs for a second time. Individual monitors are available for student use in the Audio Library.
>
> "Including in standard student orientation packages a copy of the library's handout describing the role of staff in caring for collections
>
> "Developing a section in the Student Employee's Handbook on the importance of the library's preservation program. The concepts of irreplaceability and permanent retention would be stressed, and a set of guidelines for responsible handling of library materials included.
>
> "Developing a slide-tape program that teaches student assistants working in the circulation and shelving units to identify books and other materials that should receive remedial treatment before being returned to the shelves
>
> "Encouraging library supervisors to send students to the preservation orientation workshop that is offered annually for newly hired full-time staff members

> "Developing posters that can be hung behind the circulation desk and in book sorting rooms, where student assistants may handle hundreds of volumes in a single work session. Posters would illustrate the effects of fore edge shelving, leaning, and other damaging shelving practices; and would emphasize that the collections support scholastic and research activities--and as such, are the shared property and concern of all students
>
> "Developing a preservation orientation checklist that can be used by all library units to track each student assistant's progress through the orientation program

"Implementation of these suggestions would require that a person or committee be charged with setting goals, making assignments, monitoring progress, seeing projects through to completion, and encouraging follow-through at the operations level.

"Funds would be required for the purchase of two slide-tape shows, (approximately $); design and printing of one low-budget poster (approximately $); and development of a low-budget slide-tape program--the script to be written and slides to be taken by library staff (approximately $)."

These types of statements clearly identify goals and suggest options for meeting them. Vague directives to the administration are less effective. Recommendations might be accompanied by information that the task force has gathered regarding side benefits or adverse consequences.

Taken as a whole, the draft recommendations should summarize the task force's findings and judgments regarding priorities and approaches for improving the library's ability to provide substantive preservation education for staff and users. Final judgment on specific recommendations, as well as strategies for implementation, are the responsibility of the study team.

REPORTING TO THE STUDY TEAM

The task force report to the study team should follow any guidelines that were established by the team or set forth in the charge. It might include:

1) a brief description of the task force methodology;

2) a general statement on the need for preservation education

3) a discussion of the major findings and problem areas identified through the investigation

4) a presentation of recommendations for development of a broad based educational program

A sample outline appears in Appendix IXA-4; it can be adapted to suit the actual data and nature of the recommendations. The report might also incorporate, where appropriate, information on the probable consequences of various changes, reference to possible constraints, and comments on the risks involved in taking no action.

The task force report is a working paper; its contents should be logically organized and clearly expressed, but its prose need not be highly polished. Final recommendations for change will be made by the study team after it has met with the task force and analyzed the reports of all other task forces.

APPENDIX IXA-1: Sequence of Tasks for Study of Preservation Education

Preparation
- Read manual, resource notebook, and background paper
- Plan activities required to develop subject expertise
- Develop subject expertise by consulting the literature, reviewing the work of other libraries, viewing audiovisual programs, and perhaps making one or more site visits
- Compile lists of ideas

Brainstorm to bring new ideas to light

Investigate nature of library's preservation education program
- Plan strategy for conducting investigation
- Assign individuals or sub-groups to collect information
- Collect information
- Assemble and analyze information

Develop recommendations
- Brainstorm objectives
- Analyze and rank approaches to meeting objectives
- Draft recommendations

Prepare report to study team
- Determine an effective means of organizing information
- Outline contents and assign drafting responsibilities
- Review/revise sections as completed
- Complete report and submit to study team
- Prepare presentation to joint meeting of study team and task forces

APPENDIX IXA-2: Checklist of Formats and Forums for Educating Library Staff and Users

FORMATS

- Bookmarks
- Brochures
- Flyers and other handouts
- Printed messages tipped into problem volumes (e.g., brittle books)
- Messages on book sleeves, wrappers, boxes
- Messages appended to standard library handouts (building maps, bibliographies)
- Posters
- Procedural flags, processing forms
- Signs
- Exhibits
- Audiovisual programs (for orientation sessions, loan, display in public places)
- Computer-assisted instruction
- Preservation awareness week
- Plastic bags distributed on rainy days

FORUMS

- Staff newsletters
- Faculty newsletters
- Student newspapers
- Alumni newspapers
- Local newspapers
- Publications of the parent organization (e.g., the university)
- Bibliographic instruction programs for users
- Routine reference work
- Users' guide to the library
- Users' guide to care of personal library collections
- Student orientation (graduate, undergraduate)
- Formal academic course work
- Tours of the library conducted for visitors
- University policy regarding people who attempt to steal or willfully destroy library materials; penalties
- Meetings of teaching faculty (university senate, committees, colloquiums)
- Meetings of library friends' group
- Meetings of library units (i.e., departments, special libraries)
- All-staff meetings
- Librarians' council
- Management council
- Library committee meetings
- Staff association meetings
- Staff presentations (e.g., conference and workshop reports)
- Orientation programs for library staff
- Orientation programs for library student assistants

Preservation liaison in each library unit
Workshops, seminars, conferences
Site visits
Handbooks and manuals for library staff and student assistants
Library and departmental training materials
Library and departmental policies and procedures
Annual goals and objectives (library staff)
Formal job descriptions
Reports to senior administrators

APPENDIX IXA-3: Guide for Surveying or Interviewing

PRESERVATION SURVEY: STAFF AND USER EDUCATION

Preservation Self-Study, Task Force # F

The purpose of this survey is twofold:

.To identify current library activities that serve to educate staff and users regarding preservation policies and procedures

.To solicit general and specific ideas regarding the need for, and development of, additional training opportunities

Please review this questionnaire with staff members in your unit for the purpose of gathering information, and encourage individual responses to the survey form where appropriate. Return to [appropriate person/address] by [appropriate date]. Thank you for your assistance.

Preservation education might include, but would not be limited to, any of the following topics:

.The chemical and physical nature of library materials, and what causes them to deteriorate

.Correct procedures for shelving, photocopying, shipping, and general handling of library materials (including paper, film, photographs, and other media); using book trucks; cleaning microform readers

.How to recognize bound volumes that are structurally unsound; brittle paper; insects that might damage library materials

.The dangers posed to library materials by eating, drinking, or smoking in libraries; mending worn and damaged materials without appropriate training; using book drops, rubber bands, paper clips

.How library materials should be housed (i.e., appropriate heating, lighting, and humidity levels; importance of cleanliness)

.What the charge of the library's preservation unit is, and what it does; or what the role of a preservation unit might be

Keeping this list in mind, please answer the following questions:

1. What preservation training/awareness activities and opportunities are currently provided for staff in your library, department, or unit?

2. What training/awareness activities and opportunities are not now provided for staff, but are needed?

3. What preservation training/awareness activities and opportunities are currently provided for student assistants in your library, department, or unit?

4. What training/awareness activities and opportunities are not now provided for student assistants, but are needed?

5. What preservation training/awareness activities and opportunities are currently provided for library users by your library, department, or unit?

6. What training/awareness activities and opportunities are not now provided for library users, but are needed?

7. If a committee on preservation education were to be created by the Director of Libraries, would you be interested in participating? What special interest or expertise would you bring to such a committee?

APPENDIX IXA-4: Sample Outline for Staff and User Education Task Force Report

Introduction

- Scope of the study
- Description of the methodology
- Limitations or special features of the approach

Description of Current Preservation-Related Educational Effort

- This section might be organized by target group (e.g., library student assistants, faculty), nature/format of the training (e.g., printed materials, presentations by knowledgeable persons), or topic (e.g., shelving, general handling)

- Each subsection might include the following information:

    - Person(s) or group responsible for the activity
    - Time frame (when did the activity begin/when was the product developed; will the activity continue/will the product continue to be available?)
    - Site (in what facility is the activity conducted/where is the product available?)

Recommendations

- General rationale for initiating or expanding the educational effort
- List of recommendations organized by target group, nature/format of the training, or topic (consistent with section that describes current activities). Each recommendation might include:

    - Justification for initiating activity
    - Specific method(s) of implementation
    - Proposed time frame (optional, if there are too many unknowns)
    - Resource implications (general or specific)

Appendices (as appropriate):

- Bibliography of readings and audiovisual programs used by the task force to conduct its study
- Copies of preservation-related training materials currently in use in the library, or that have been used in the past
- Copy of survey form, if a form was distributed by the task force to library units or to individuals
- Summary of survey results (regardless of the survey methodology)
- Sample training materials or other information that is germane to particular recommendations

CHAPTER IX-B. PHASE II: TASK FORCE G: INTERINSTITUTIONAL COOPERATION

INTRODUCTION TO INTERINSTITUTIONAL COOPERATIVE ISSUES

Over the past several years, it has become clear that cooperative action is vital to enhance and support local preservation initiatives. In 1976, a Library Journal article asserted:

> Through permitting maximum utilization of the limited knowledge and skills available, through economies of scale where such are possible, and through the reduction of duplication of effort, cooperative action can help to gain maximum benefit from the limited resources that we have to preserve our nation's collective memory. (Paul Banks, Nov. 15, 1976. pp.388-391)

On the national level, the history of planning for the preservation of library materials stretches back more than two decades. For example, in 1964, Gordon Williams prepared a report for the Association of Research Libraries (ARL) entitled "The Preservation of Deteriorating Books: An Examination of the Problem with Recommendations for a Solution." The report concluded that the best way to deal with the problem was to establish a federal agency which would preserve a physical copy of each significant work and make copies available to other libraries.

In 1972, a report by Warren J. Haas again proposed an agenda for cooperative action. ("Preparation of Detailed Specifications for a National System for the Preservation of Library Materials", Washington, D.C.: ARL) Four years later, a national preservation planning conference at the Library of Congress brought together several dozen people who had been working on pieces of that agenda. The conference identified research, educational, and cognitive efforts as critical to resolving the problem of deteriorating library materials.

The same time period saw the beginning of a number of other national cooperative efforts. The American Institute for Conservation began to place increased emphasis on library materials, and in 1973 a National Conservation Advisory Council was established "to serve as a forum for cooperation and planning" related to the conservation of cultural property.

A critical new development is the establishment of the Commission on Preservation and Access by the Council on Library Resources. The Commission, which includes university librarians and academic administrators, will coordinate large scale efforts for addressing the brittle book problem and aims to facilitate nationwide preservation microfilming of over three million volumes.

For more information on national developments, see the "Perspectives on Preservation..." article from National Preservation News at the conclusion of this chapter.

In addition to national efforts, individual research libraries together with their peers have long focused on cooperative preservation programs because of the rising costs of materials, the expanding information needs of scholars, and the proliferation of publications. The Harvard, Yale, Columbia, New York Public Library consortium, which later served as the nucleus for the Research Libraries Group (RLG), established an active preservation committee and initiated RLG's cooperative preservation microfilming program.

The work of ARL in developing the North American Collections Inventory Project has shown that libraries can no longer expect to be individual entities that meet all their users' needs, but instead should strive to provide access to information from many sources. Recently, the focus has widened to include the management and preservation of existing collections in order to assure continuing access to materials in all scholarly fields, in addition to cooperative collection building.

No one, two, or even several institutions have the resources available to preserve the materials housed in even one academic research library, and only by working cooperatively can we meet the preservation challenge. The library profession has begun to identify a decentralized national collection: a national research collection housed in hundreds of repositories which will be available to future scholars only if it is preserved. Thus, it is a cooperative responsibility to do so.

DEFINITION OF INTERINSTITUTIONAL COOPERATION

Interinstitutional cooperation is defined as any grouping of libraries that by consensus identifies needs and, in concert, plans and accomplishes objective that address those needs.

Patterns of interinstitutional cooperation have emerged in preservation. For example, cooperative activities have included the following:

--Resource Sharing: a group of institutions cooperating by each contributing resources to preserve a certain segment of the scholarly record;

--Cost Saving: joint projects in which one institution, by preserving a specific item held by several institutions and making that information known, obviates other institutions preserving that item;

--Fund Raising: several institutions providing a strong base for grant applications;

--Information and Expertise Sharing: institutions either sharing their separate knowledge or providing support for one knowledgeable person in a region;

--Training and Education: Several libraries holding workshops for staff and users, or designing and producing posters or other visual aids jointly;

--Assistance: trained volunteers from several institutions available to assist, for example, in a disaster recovery operation;

--Gaining or Enhancing Political Power: institutions working together in lobbying for funding for preservation;

--Peer Support: joint problem-solving and discussion when preservation problems seem intractable;

--Providing Services Not Readily Available: creating a central service for expensive conservation treatment by sharing professional conservators' services;

--Creating and Promulgating Standards and Specifications: customers working with a commercial library binder to improve products.

EXAMPLES OF COOPERATIVE ORGANIZATIONS

There are numerous examples of interinstitutional cooperative activities at national, regional, and local levels. Only a few will be listed here as illustrations for the task force investigation.

On the national level, key roles are being played by a number of groups, among them the Association of Research Libraries, the Council on Library Resources, the Library of Congress, the National Endowment for the Humanities Office for Preservation, the Preservation Section of the American Library Association, the Research Libraries Group, and the National Institute for Conservation. Coordination is assured both by formal liaisons and by the fact that several individuals are directly involved in more than one program.

On the state level, planning for cooperative programs is progressing. Several institutions are playing leadership roles in their respective states, including the New York State Library, New York State Archives, New Jersey State Library, Kentucky Department for Libraries and Archives, University of California-Berkeley, and the University of Wisconsin.

See the listing of state programs from National Preservation News at the end of this chapter for details and examples.

On the regional level, the number of cooperative preservation programs has expanded significantly in the last decade. Regional centers include the Northeast Document Conservation Center, the Conservation Center for Art and Historic Artifacts, Southeastern Library Network, Midwest Cooperative Conservation Program (no longer funded), Illinois Cooperative Conservation Program, Ohio Cooperative Conservation Information Office, Mid-Atlantic Preservation Service, and Western States Materials Conservation Project.

Subject-based programs include the American Theological Library Association, the Research Libraries Group Law and Health Sciences Library programs, the Center for Research Libraries CAMP and LAMP programs, the American Philological Association preservation microfilming project, and the Regional Medical Library system.

In addition to those programs that directly address preservation, library cooperative programs existing in each state, each region, and in groups of peer institutions. A few examples, among hundreds, include METRO in New York City and Westchester County; the University Center in Atlanta, Georgia; GNOMES, the library directors of the largest private universities; SEARL, the Southeast Association of Research Libraries; and MASUA, Mid-America State Universities Association (and a subset of those, NEKOMA).

As cooperative preservation programs have evolved into an array of diverse local, regional and national programs with wide geographic distribution, the opportunities for cooperative preservation activities have expanded. Through cooperative programs, libraries have access to an ever widening range of services including conservation, microfilming, training, and disaster assistance.

PROBLEMS IN THE INVESTIGATION OF INTERINSTITUTIONAL COOPERATION

There is an ever expanding range of cooperative preservation activities, and a principal concern of the task force is to obtain the most up-to-date and complete information on current programs. Frequently published newsletters and timely sources will be most helpful, including the Abby Newsletter, the National Preservation News from the National Preservation Program Office,CAN (the Conservation Administration News), and reports of current activities found in reviews such as the LRTS (Library Resources and Technical Services) "Year's Work" articles, the Encyclopedia of Library and Information Science, and the ALA Yearbook of Library and Information Services. Follow-up telephoning and writing to conservation specialists also can be helpful, as can be the advice of the self-study consultant.

In order to determine the need for cooperative activities and the possible extent of library involvement in such activities, a substantial amount of information will need to be gathered from other organizations, regions, and libraries. At the same time, the task force's judgement will be required in order to analyze the role of its own library in any cooperative endeavor. It is important that the task force not lose sight of the mission of the library and the extent to which various cooperative activities will help fulfill that mission. The task force needs to determine which organizations are appropriate to meeting library goals.

Another problem to be anticipated when developing recommendations is that of developing institutional support and the support of other libraries in setting up cooperative activities that will necessarily add extra burdens to staff and budgets. The work of this task force will require discussion with other institutions as to their interest in cooperative activities. It is important to create support and enthusiasm, but not to raise expectations of others in activities until they can realistically be implemented.

There are major philosophical questions currently under discussion in library sectors as to the cost benefit of cooperative activities. Although the assumption is made that there are benefits, it may be necessary to prove it in specific areas. The task force should carefully determine which areas of cooperation are beneficial and which areas may not be.

ASSUMPTIONS UNDERLYING THE INVESTIGATION OF INTERINSTITUTIONAL COOPERATION

The major assumption is that it is necessary and important for institutions to band together to meet the preservation challenge.

Other assumptions that can influence the analysis and recommendations:

--Libraries, library directors and library staff are interested in and will support cooperative activities;

--It is sensible to work within existing cooperative programs where available, rather than create new programs;

--Many cooperative organizations have not yet addressed the issues of preservation, but are able to do so;

--Cooperative activities will either save the library funds, or funds expended will significantly increase service to patrons in the long run;

--Cooperative activities may provide access to services that the library has neither the facilities nor the expertise to perform;

--Cooperative activities may attract funding from government or other funding agencies, given the current interest in collective strategies;

--Cooperative activities will benefit all involved organizations, not just a few.

--It is the responsibility of large research libraries to provide leadership in cooperative activities.

It is also assumed that since the study team has included this task force in the Planning Program that the library is indeed interested in cooperative activities in preservation and willing to participate. A close analysis of other cooperative activities of the library may provide a more realistic view of this assumption.

ORGANIZING THE INVESTIGATION

The task force identifies and assesses cooperative activities on behalf of the study team and develops recommendations for cooperative activity which the study team will use in preparing its final report to the library director. The task force generally is chaired by a member of the study team and includes four to seven people. The group should include or have access to people and resources with information about current cooperative activities.

Upon appointment, task force members should inform themselves about the issues through study of this manual, the Preservation Planning Resource Notebook, and the background paper prepared by the study team. Six to ten weeks may be alloted to conducting the investigation and preparing a report. The study team establishes the deadline, and the task force is responsible for setting its own schedule to accomplish the work within that period. The consultant may meet with the task force to review existing cooperative activities and develop an action plan for the investigation.

STEPS IN THE INVESTIGATION

In reviewing opportunities for cooperative activities, the task force must ask and discover which of their library's preservation needs could be met by cooperative activities, and what types of cooperative programs already are available or might be initiated by the library to meet these needs. The task force will review library needs, identify cooperative organizations, determine the library's actual or possible roles within these organizations, assess the benefits and drawbacks of involvement with organizations, and recommend participation in or creation of cooperative activities.

See the Sequence of Tasks at the conclusion of this chapter for a suggested work plan outline. In addition, the Checklist of Cooperation Activities in Preservation and the Sample Survey Form at this chapter's end can be used to assist in data-gathering.

Based on this general framework, the study can take the following steps:

1. The task force should first quickly review the current library preservation needs and initiatives. With that background, it can investigate the full range of cooperative preservation organizations on a national, regional, and subject basis. Information on the activities and services of the organizations can be gathered through literature and personal contacts.

2. The task force can then identify the cooperative preservation organizations in which the library participates or is eligible to participate, and determine the library's current role in those organizations.

3. After determining the library's current responsibilities in cooperative preservation organizations, the task force can create a

list of suggested additional roles the library could play in these organizations, in keeping with the library 's preservation needs.

4. Next, the task force can identify cooperative organizations (not necessarily involved in preservation currently) in which the library participates that have the capability to provide a focus for preservation activities to help meet library needs.

When identifying cooperative activities which do not now support preservation, the task force also can use its gathered information to determine the general role of the library in cooperative activities, as well as to identify organizations that may become the focus of cooperative preservation activities.

5. It will then be necessary to assess the advantages and disadvantages of involvement in various cooperative organizations, and to determine the costs associated with each. This assessment will include judgements concerning how cooperative activities will, or should, affect the library's local preservation program. The task force should assess the usefulness of each organization related to specific local preservation initiatives and needs, before it develops recommendations for the study team.

6. A further step is to identify any library preservation needs that could be filled by cooperative preservation organizations that do not yet exist. In so doing, the task force can identify possible roles that the library might play in such organizations.

7. Finally, the study team will recommend participation in and/or creation of cooperative activities.

DEVELOPING RECOMMENDATIONS FOR COOPERATIVE ACTIVITY

After data have been collected and analyzed, the task force will shape its recommendations. Most task force members will have identified needs and possibilities in their investigatory work and will have recommendations in mind.

Recommendations should be pragmatic and possible. They should cite specific goals and specific means of meeting those goals. Effective recommendations usually are tied to a rationale statement, a timetable, and indications of costs and staffing requirements. Such details are best included in the recommendation itself.

Examples of recommendations are:

> 1. The library, as a member of SOLINET, has access to expert preservation activities. Therefore, the library should:
>
> Invite SOLINET to provide a training program for the region in disaster planning;
>
> Participate in the preservation microfilming project;

Provide a leadership role in developing new products and approaches by SOLINET through the director's membership on the board.

Costs and staff time for each of these activities (if any) should be outlined.

OR

2. The library director should take the initiative as a member of RLAC to recommend concerted preservation action by OCLC research libraries:

to create a cooperative preservation microfilming project;

to request funding from national sources for entry of microfilm master data into OCLC.

OR

3. The library is the only member of the Big 8 Libraries Group that has a reprographic department. As other members begin microfilming programs, the Library Reprographics Department should offer training opportunities for microfilm camera operators from other of the Big 8 institution libraries.

This type of recommendation should include details concerning funding and staffing requirements.

REPORTING TO THE STUDY TEAM

The task force report to the study team should follow guidelines which were established by the team or set forth in the charge. It most likely will include the following elements:

1) a brief description of the task force methodology

2) a general description and analysis of the library's cooperative activities in general

3) a general description and analysis of the library's cooperative preservation activities

4) a description of needs that may be met by cooperative activities

5) a presentation of recommendations

A sample outline appears at the conclusion of this chapter. It should be adapted to suit the actual data and nature of the recommendations. The task force report is a working paper. Its contents should be logically organized and clearly expressed, but its prose need not be highly polished. Final recommendations for change will be made by the study team after it has met with all the task forces and analyzed their reports.

SEQUENCE OF TASKS

Preparation

Read manual, resource notebook, and background paper.

Plan activities and assign initial tasks.

Determine the Scope of the Investigation.

Review library's preservation needs and goals, in context of library's mission.

Brainstorm existing cooperative activities in which the library is involved. Brainstorm cooperative activities existing elsewhere that might be useful to the library.

Determine which cooperative activities are most appropriate.

Determine sources of information about cooperative activities.

Assign subgroups to collect information.

Assemble Information About Cooperative Activities.

Task Force Analysis of Data

Review all information

Discuss possibilities, identifying strengths and gaps

Develop Recommendations

Brainstorm objectives

Develop cost/benefit analysis

Use force field analysis for new cooperative activities

Draft recommendations

Prepare Report to Study Team

Outline contents and assign drafting responsibilities

Review/revise sections as finished

Complete report and submit to study team

Prepare presentation to joint study team/task forces meeting

CHECKLIST OF COOPERATIVE ACTIVITIES IN PRESERVATION

This list is not meant to be exhaustive, but rather suggestive of currently available options for joint action. Possibilities include:

* Clearinghouse of preservation-related information
* Coordination of preservation activities
* Agreements on preservation priorities and assignments
* Provisions for last copy
* Coordinated development of preservation plans
* Shared preservation microfilming services
* Development of coordinated conservation treatment programs
* Educational programs or workshops
* Training personnel
* Sharing services of trained personnel or a consultant
* Joint disaster teams and assistance
* Shared access to disaster equipment
* Jointly purchasing or leasing expensive equipment
* Jointly testing and evaluating equipment
* Jointly purchasing preservation supplies
* Jointly evaluating new technologies
* Shared mass deacidification facility
* Shared storage facility
* Centralized storage for microform master negatives

SAMPLE SURVEY FORM

This is one example of the type of form that may be used to collect data about cooperative preservation programs.

---

1. Name, Address of Organization:

2. Type of Organization (e.g., consortium, state facility, non-profit corporation, etc.)

3. Area Served (e.g., local, state, region, national)

4. Year Founded

5. Objectives:

6. Stage of Development
    a. Planning stage
    b. Development stage
    c. Operational stage

7. Funding Sources (e.g., dues, fees, grants, etc.)

8. Funding Level (e.g., estimated annual budget)

9. Rules for Participation

10. Type of Agreement
    a. Legal Agreement
    b. Informed Agreement

11. Membership (e.g., number of members, type, etc.)

12. Activities

13. Administration (e.g., staffing level, governance)

14. Other relevant information:

SAMPLE OUTLINE OF REPORT TO STUDY TEAM

Introduction

- Scope of the study
- Description of methodology
- Definitions
- Limitations or special features

Description of Library's Role and Commitment to Cooperative Activities

Description of Existing Interinstitutional Cooperation

- Types of organizations
- Library's roles

Description of Needs for Interinstitutional Cooperation

- Services that are needed
- Expertise and resources that are needed

Recommendations

- Definition of roles library could or should play in various organizations

- Creation of organizations

- Support and involvement in organizations

Appendices

- Lists and brief descriptions of interinstitutional cooperative activities

- Descriptions of what other organizations are doing

NATIONAL PRESERVATION NEWS

No. 1 July 1985

A Newsletter of the National Preservation Program Office *The Library of Congress*

Perspectives on Preservation . . .

A Slow But Steady Progress
The Search For A National Preservation Strategy

The history of national planning for the preservation of library materials in the United States stretches back more than two decades to the 1964 publication of Gordon Williams' landmark report for the Association of Research Libraries (ARL).[4] This history is punctuated by conferences, studies, and proposals and is well documented in the literature.[5] From today's perspective we can discern three overlapping phases in the search for a coherent national approach, stages which might be characterized by alarm, vision, and practice.

Sounding the Alarm

Williams' report emphatically sounded the alarm, by describing the nature and extent of deterioration, a disaster whose magnitude was such that individual libraries could not hope to solve the problem on their own. In the flush 1960s, most of the profession was preoccupied with the pleasant challenges of building collections and developing innovative services. But those who attended to Williams' message were stricken by the appalling prospect that major portions of the nation's library resources might not survive into the next century. The need for action on a vast scale was unquestionable; the hope for a solution through a centralized "national" effort was seized upon eagerly.

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[4] The Preservation of Deteriorating Books: An Examination of the Problem and Recommendations for a Solution. *(Washington, D.C.: Association of Research Libraries, 1964).*

[5] *Useful accounts appear in Carolyn Morrow, "National Preservation Planning and Regional Cooperative Conservation Efforts," in Kathryn Henderson, editor,* Conserving and Preserving Library Materials. *(Urbana, IL: Graduate School of Library and Information Science, 1983), and in Pamela W. Darling and Sherelyn Ogden, "From Problems Perceived to Programs in Practice: The Preservation of Library Resources in the U.S.A., 1956–1980,"* Library Resources and Technical Services *25,1 (January/March 1981):9–29. Nancy Gwinn details the vital role played by the Council on Library Resources in "CLR and Preservation,"* College and Research Libraries *42, 2 (March 1981):104–26.*

In retrospect, we can see that alarm plus hope do not a program make. That something must be done was clear, but what that something was had yet to be discovered. The search was on, and although there was no dramatic progress toward the hoped-for "national program," the next few years brought important developments. The *National Register of Microform Masters*, a tool for minimizing costly duplication in preservation microfilming, began publication. In the wake of the Florence Flood, techniques for conservation treatment expanded, along with the number of experienced conservators. Policies and procedures for preservation administration began to develop as a few pioneering libraries launched local programs.

Shaping the Program

By the early 1970s, enough had been learned to shape a vision of where we might go as first articulated by Warren J. Haas in another landmark ARL report.[6] The Haas report established an agenda for developing "a capacity for collective action that is suitable to the dimension of the job to be done," an agenda including research, education and training, the growth of programs in individual libraries, and the establishment of cooperative mechanisms for sharing the responsibility to preserve segments of the total record.

Four years later a "national preservation planning conference" at the Library of Congress brought together several dozen people who had been working on pieces of that agenda, for intense discussions which served to fill in the details of the vision. Summing up that conference, Haas identified five key elements which, put in place within ten years, might create that essential "capacity for collective action": first, a preservation master microform collection and a bibliographic system that routinely accommodates microforms; second, a cadre of trained conservators and a preservation-wise library profession; third, a mechanism to buy time for those things which cannot be treated immediately; fourth, public awareness of the importance of preservation, to insure adequate funding; and fifth, a free flow of information and full cooperation among all affected parties. We are now nearing the end of the ten years projected by that 1976 planning conference. *How does the present reality compare with the vision?*

Practitioners Proliferate

In 1976 it was a struggle to identify forty people who could contribute to a preservation planning conference. Today several hundred could readily be found. Throughout the country librarians, preservation administrators, and conservators are at work creating, refining, and expanding the programs that give substance to the vision. Library directors, university presidents, and key officers of public and private funding sources are backing up theoretical commitment with money for a wide variety of activities. Cooperative efforts are taking shape within professional associations, networks and consortia, and state and regional programs. Multi-institutional microfilming projects are growing, records for master microforms are being rapidly added to the bibliographic data bases, and work is underway on enhancements to support other aspects of preservation decision-making. The preservation literature has undergone its own information explosion. Workshops, conferences, courses, internships and a full-scale academic program are steadily improving general awareness and multiplying the specialists who turn theory into practice.

No single agency has (or could have) directed such diverse developments, yet their complementarity is testimony both to the informal adoption of the vision by the professional community and to continuing communication and coordination among the "affected parties." On-going planning activities focus on increasingly specific elements within the overall design, and the dream of a single centralized program has quietly yielded to a system of interrelated strategies and shared responsibilities.

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[6] Preparation of Detailed Specifications for a National System for the Preservation of Library Materials. *(Washington, D.C.: Association of Research Libraries, 1972).*

Key roles in the unfolding "national planning" process are being played by a number of groups–some long-term veterans and some energetic young recruits–among them the Association of Research Libraries, the Council on Library Resources, the Library of Congress, the National Endowment for the Humanities Office for Preservation, the Northeast Document Conservation Center, the Preservation Section of the American Library Association, the Research Libraries Group, and the National Institute for Conservation. Coordination is insured both by formal liaisons and by the fact that many dedicated individuals are directly involved in more than one program.

Progress toward a "national program" has often seemed painfully slow, especially in light of the urgent needs of our crumbling collections. It sometimes appeared to be all talk and "planning" without any action. Yet today we can recognize each initiative along the way, even those which apparently came to naught, as an essential step in the process, from recognizing a critical problem through envisioning potential solutions to the creation of practical programs. The job is by no means done, nor will it be for decades more to come; but our collective ability to undertake it has been demonstrated. The vision is becoming reality. *[Pamela W. Darling]*

News and Notes from NPPO

AV Loan Program Swamped by Success

Requests to borrow titles in NPPO's Audiovisual Resources Loan Program have increased five-fold since the service

NATIONAL
PRESERVATION
NEWS

No. 6, October 1986

A Newsletter of the National Preservation Program Office *The Library of Congress*

Preservation Initiatives in the States

New York

Legislative Initiative

In fiscal year 1984-85, the State of New York appropriated an annual $1.2 million for the preservation and conservation of library research materials. The program is administered through the Division of Library Development of the New York State Library. The appropriation was part of a total $57 million in state aid granted to libraries and represented the first state government support for preservation anywhere in the nation.

The bulk of the money, $1 million, was earmarked for support of preservation programs in the eleven major research libraries of New York (Columbia, Cornell, New York State Library, New York University, University of Rochester, Syracuse University, the Research Libraries of the New York Public Library, and the State University of New York Centers at Albany, Binghamton, Buffalo, and Stony Brook). $200,000 was set aside for discretionary grants on a competitive basis to all other libraries and other repositories holding materials of special or unique research importance. Legislation enacted in 1986 increased the annual appropriation to $2 million, with the increase including $350,000 for *cooperative* programs among the eleven major libraries and an additional $300,000 for discretionary grants. Legislation is currently being proposed to raise the total annual appropriation to $3 million.

Continuing support for preservation programs in the eleven research libraries, coupled with a forum for developing a cooperative approach, will strengthen New York's efforts to address the preservation of important research resources in the state as well as its ability to contribute to the emerging national effort. The discretionary grant program is being enhanced with a new program of preservation education and technical assistance. This outreach program will help identify important collections, assist institutions in program and proposal development, coordinate the discretionary grant program with the program for the eleven research libraries, and evaluate progress and disseminate successful elements as a model for other states. For further information contact Connie Brooks, Conservation/ Preservation Program, Division of Library Development, New York State Library,

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** State seals used in this issue indicate that specific legislation supporting preservation activities exists in the state.*

10-B-41 Cultural Education Center,
Albany, NY 12230. (518) 474-4969.

Statewide Planning

Concurrent with New York's impressive legislative initiative for preservation, the State Archives and State Library are concluding a three-year joint preservation planning and advocacy project funded in part by the National Endowment for the Humanities (*National Preservation News*, April 1986).

Our Memory at Risk: Preserving New York's Unique Research Resources was drafted during the three-year project, discussed at a statewide conference in May 1986, and modified based on input from conference participants and others. The final version will be published in early 1987. The report includes recommendations for statewide preservation activity, with the goal of insuring the survival of information of enduring value to the citizens of the state. Guided during the planning process by the ad hoc New York Document Conservation Advisory Council, the project's recommendations for action are addressed on multiple levels. Significantly, individual citizens, associations, and institutions are urged to take *independent action* to address the preservation problem; this is a crucial aspect of the program, emphasizing the value of grass roots recognition of a problem that concerns all citizens. Recommendations for *statewide action* emphasize direction and support and include the following areas:

- identification and selection of materials
- education and training
- preservation standards and information services
- disaster preparedness and assistance
- local and statewide public awareness
- investigation of preservation service needs and options
- state financial and technical assistance
- national cooperation and support
- ongoing preservation evaluation and planning

The report is addressed to state legislators, the governor, and other state government leaders who have responsibility for preservation of research resources throughout the state. For further information, contact Christine Ward, Project Coordinator, NY Document Conservation Planning Project, New York State Archives, Cultural Education Center, Albany, NY 12230. (518) 474-5135.

[redacted]

National Preservation News is a publication of the National Preservation Program Office that highlights cooperative efforts to preserve our documentary heritage and reports on preservation activities at the Library of Congress. It is available free of charge to interested institutions.

The Library of Congress
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Maine

On April 26, 1985, 150 Maine librarians, curators, historical society members, and interested citizens participated in a conference designed to increase awareness of the need to preserve library, archival, and historic collections and provide information about preservation alternatives.

The conference was the result of a growing concern about the deterioration of historically valuable materials in the state of Maine, and was cosponsored by the Maine State Library and Bridgeport National Bindery, Inc. of Agawam, Massachusetts. While participants were very receptive to the concept of preservation, it was obvious that without sound financial support little positive action would take place.

During the conference, State Librarian J. Gary Nichols pledged his support for the development of a statewide preservation program. Working in consultation with State Library staff, the Northeast Document Conservation Center, and others, Mr. Nichols drafted a legislative document for introduction to the 112th State Legislature in January 1986.

During 1986, documentation was prepared for presentation to legislative committees and support was enlisted from libraries, historical societies, legislators, and private individuals. After careful review, the legislature voted to enact the Conservation and Preservation bill and Governor Brennan signed it into law. The bill provides an annual fund of $25,000 for conservation of materials owned by the State Library and $50,000 for matching incentive grants to be awarded to institutions for the preservation of unique research materials.

This landmark legislation is an important first step in establishing a program that will insure that valuable documentary resources of special significance to the heritage of Maine are preserved for future generations. However, much work remains to be done. A statewide assessment program must be developed to determine preservation needs, including special training requirements for individuals charged with the care and handling of unique documents. Services needed to support special preservation projects must be identified. In addition, technical information must be disseminated to assist applicants in the development of projects. For more information contact J. Gary Nichols, State Librarian, Maine State Library, Cultural Building, August, ME 04333. (207) 289-3328.

New Jersey

In 1984, the State Library of New Jersey contracted with the Northeast Document Conservation Center to conduct a study of preservation needs and develop a state plan to address them. The study was directed by Howard P. Lowell (Director of the Oklahoma Resources Branch of the Oklahoma State Library) who worked with a statewide Advisory Committee chaired by Assistant State Librarian Donna Dziedzic. *A Plan for Preservation in New Jersey Libraries: First Steps Towards a State Approach for the Preservation of Library Materials in New Jersey* identified several crucial areas of need including preservation awareness and advocacy, disaster planning and assistance, institutional plans and programs, and access to preservation and conservation services. The plan stressed that cooperation was the most cost-effective method of coping with common preservation problems and that the State Library should provide preservation leadership for the state.

Implementation of the plan began with the passage in 1985 of Senate bill 1020 creating the Library Development Aid Law which included provisions for funding preservation and conservation grant projects in New Jersey libraries. Concurrently, a Library Services and Construction Act grant was used to fund a preservation consultant position within the Library Development Bureau and, in May 1986, to hire Sally Roggia to develop a detailed implementation plan for a New Jersey statewide preservation program.

Initial work includes the establishment of an information clearinghouse, disaster recovery program, and basic preservation education program. Preservation information, training, and service programs will be developed in cooperation with the state's regional library cooperatives which form the New Jersey Library Network. Regulations and guidelines for the preservation grant program are being developed in anticipation of full funding for the Library Development Aid Law. For more information contact Sally Roggia, Preservation Consultant, Library Development Bureau, New Jersey State Library, 185 West State Street, Trenton, NJ 08625-0520.

California

In July 1986, the libraries of the nine campuses of the University of California (UC) initiated a cooperative program to preserve their library and archive collections with an initial annual appropriation of $200,000 from the State of California. Cooperative preservation efforts in FY 1986-87 are focused on disaster preparedness and response, preservation microfilming, education and training of preservation staff, and tracking of developments in mass preservation technologies.

Governance of the cooperative program is provided by a steering committee of UC library directors. Program implementation is the responsibility of an operations committee composed of preservation officers charged with managing campus preservation programs to meet the needs of the university and its nine campuses (Berkeley, Davis, Irvine, Los Angeles, Riverside, San Diego, San Francisco, Santa Barbara, and Santa Cruz).

The cooperative program also has a central staff to facilitate the work of the steering and operations committees: a director for general management and coordination of operations; a preservation librarian for education and training; and an administrative assistant. The program staff assist with the implementation of campus programs and assume primary responsibility for development, coordination, and implementation of shared preservation services. Inquiries about the program may be addressed to Barclay Ogden, Director, University of California Preservation Program, 416 Main Library, University of California, Berkeley, CA 94720. (415) 642-4946.

Illinois

In 1981 the Illinois Cooperative Conservation Program (ICCP) received the first of several grants to conduct a statewide preservation information and outreach program. ICCP is hosted by Southern Illinois University at Carbondale and supported by Library Services and Construction Act funds administered through the Illinois State Library. Since its inception, ICCP has served as a focal point for preservation in the state: producing technical leaflets, posters, and audiovisual training aids; consulting onsite and over the phone with individual institutions; and holding numerous workshops. A modest treatment service initiated in 1983 served to highlight the serious lack of sophisticated conservation treatment services for rare and unique materials. During the same time frame, Illinois research libraries have increased their preservation program activities. In 1985, Bridget Lamont, Director of the Illinois State Library, convened a statewide task force to review preservation activities in Illinois and develop a five-year plan for the preservation of library and archival resources. The Task Force's plan submitted in April 1986 outlined a compehensive program with its goals to: 1) cultivate public understanding of the problem and seek enabling legislation and appropriations for a coordinated preservation program; 2) establish an Office of Preservation in the Illinois State Library to implement the recommendations in the report; 3) provide information and training services through the eighteen regional library systems; 4) identify material needing preservation and set priorities for treatment; 5) create centers for conservation training and treatment; and 6) assess the need for mass deacidification facilities.

Currently, the Secretary of State (who

serves as the Illinois State Librarian) has committed funds to establish an Office of Preservation with a permanent Advisory Committee. For more information contact Amy Keller-Strauss, Library Development, Room 288, Illinois State Library, Centennial Building, Springfield, IL 62756.

Ohio

Statewide preservation initiatives are present in Ohio through the Ohio Conservation Committee (OCC) (established in 1984 as a coalition of librarians, archivists, and others concerned with the preservation of documentary resources) and with the Ohio Cooperative Conservation Information Office (OCCIO) (a project funded since 1983 through the Library Services and Construction Act). OCCIO has operated an information clearinghouse and sponsored numerous workshops around the state, while OCC has worked to articulate preservation concerns and forge cooperative links between existing preservation programs.

Currently, OCC is working through two active subcommittees. The Subcommittee on Mass Deacidification has prepared "The Acidic Book: A Crisis in Ohio Libraries" for consideration by the Inter-University Library Council, a body representing libraries at Ohio's thirteen state-supported universities, and by the Library Study Committee, a high level advisory body responsible for study and recommendation of new library facilities to the Ohio Board of Regents. OCC vigorously supports the concept of developing a mass deacidification facility in Ohio to begin to address the state's *prospective* preservation problem.

The recently established Subcommittee on Preservation Microfilming is conducting a survey of microfilming capabilities as a preliminary to preparing a report with recommendations. For further information contact OCC Chair Wesley Boomgaarden, Preservation Officer, Ohio State University Libraries, 1858 Neil Avenue Mall, Columbus, OH 43210.

Wisconsin

In September 1986, the University of Wisconsin–Madison convened a statewide conference to address the preservation of Wisconsin's library and historical resources and consider a draft proposal for a statewide preservation program. The two-day conference was attended by directors and key staff of academic and research libraries, archives, and historical repositories; college and university administrators; and representatives of professional organizations and of the paper and printing industries in Wisconsin.

The draft plan for a Wisconsin preservation program was developed by an ad hoc Preservation Planning Group with representatives from the library, archives, and historical communities. The plan's central premise was that libraries and archives in Wisconsin cannot *independently* fund and maintain the facilities and staff needed to conserve their collections in a comprehensive and systematic manner.

The initial draft plan proposed that a central preservation program be developed and administered through the General Library System of the University of Wisconsin–Madison, and made available to all academic and public libraries and archives on a cost-recovery basis. Program components suggested included education and training, consulting, administration of a preservation "last copy" program for the state, development of microfilming and conservation treatment facilities, and institution of a discretionary grant program to encourage preservation of unique research collections.

Following the statewide conference, the ad hoc Preservation Planning group met to modify the program plan in light of suggestions and concerns raised by the conference participants. Currently, the proposed plan places responsibility for *planning and coordination* of a statewide preservation initiative with the Council of Wisconsin Libraries (COWL). COWL is a cooperative body that, among other activities, operates Wisconsin Interlibrary Services (WILS), an organization for statewide interlibrary loans, and serves as the contracting agent for OCLC services in Wisconsin.

A cooperative preservation program would also build upon the preservation programs already in place in Madison at the university library and the State Historical Society, and other programs emerging or planned in Wisconsin. In addition, the University of Wisconsin Foundation has offered to assist in finding significant endowment funds to launch the program. For further information contact Louis A. Pitschmann, Associate Director for Collection Development and Preservation, University Libraries, University of Wisconsin–Madison, Memorial Library, 728 State Street, Madison, WI 53706.

CHAPTER X. PHASE III - PLANNING FOR PRESERVATION

TRANSITION TO PHASE III

As the task force investigations draw to a close, the responsibility for preparing a plan for expanded and improved preservation programs shifts back to the study team. The final report of the Preservation Planning Program will present that plan, together with the supporting data assembled during the first two phases which document and justify the recommendations embodied in the plan.

The success of the Preservation Planning Program can only be judged in the long run, by the extent to which the library improves its programs for preserving its collections. In the short run, the success of study team and task force efforts may be measured by the accuracy and completeness of the data they have assembled, by the quality of their ideas, by the degree of acceptance given their recommendations by the library director and the staff, and by the speed with which the first phases of the plan are implemented.

Although overall responsibility for implementation lies with the library's administration, the study team is responsible for anticipating major obstacles and presenting a realistic plan. A combination of excitement, momentum and fatigue may tempt the team to paste together the task force reports, write an introduction and be done with it. Before leaping to conclusions and recommendations, however, the team needs to assimilate and analyze a great deal of information. This process begins with a joint session of all task forces with the team, at which major findings and recommendations are discussed.

CONCLUDING PHASE II

This meeting, often coinciding with the third consultant visit, has several objectives:

- to enable task force members to summarize the results of their investigations and highlight key issues, thus providing a context within which study team members will analyze the task force documents;

- to give the members of all task forces an opportunity to learn first hand about the activities of the other groups;

- to provide team members with an opportunity to question the task forces about specific preservation problems and/or opportunities discovered in Phase II;

- to facilitate the identification of relationships, gaps or apparent contradictions among the findings of the task forces.

During the meeting, each task force should report to the whole group, reviewing the charge it was given, the way the work was carried out, major findings (both positive and negative), difficulties encountered, and areas needing further study. General discussion following the presentations should consider the following questions:

- What patterns seem to emerge from the findings of all the task forces? What major categories of need have emerged? What seem to be the most promising responses to each? Are there any important gaps or contradictions?

- Do the findings seem to support the assumptions and priorities established at the beginning of the study? Are there any big surprises?

- What seem to be the major issues the study team will have to deal with in synthesizing the reports and preparing a complete plan for preservation?

- Are there significant preservation problems which have not been addressed by the task forces in Phase II? How might they be investigated in the future?

- What comments, questions or suggestions do task force members have for the study team as it enters the last stage of the planning process?

Task force members may be asked for comments or additional information later in Phase III, but their major responsibilities come to an end with the presentation of their reports to the study team. An informal social gathering or reception is therefore appropriate to mark the conclusion of their work.

PREPARING FOR PHASE III

The study team, generally with the assistance of the consultant, then plans its work for the remainder of the study, adapting the sequence of tasks suggested at the end of Appendix I as appropriate. A week or so might be allotted for team members to read the task force reports, focusing their attention on ways of integrating the major themes and issues identified during the meeting with the task forces.

ANALYZING AND SYNTHESIZING PHASE II DATA

The study team analysis of the task force findings will generally take two or three weeks, and should include the activities described below. Some may be carried out by individuals, others will be best done by the whole team, depending upon the nature of the task force materials.

1) Review the major needs, problems and issues identified during the joint study team/task forces meeting. Are they adequately documented? What priorities ought to shape the final plan?

2) Determine how the individual task force recommendations relate to these priorities. Can they be clustered around major themes?

3) Use the impact/feasibility grid technique (see Appendix III-5) to rank the proposed solutions within each cluster.

4) Identify recommendations with a sequential or dependent relationship, and estimate the length of time needed to carry out each. Which things must take place before other things can be done? How might proposed activities be scheduled over a period of several years? Identify short-term (within a year), medium-term (within three years) and long-term (five or more years) activities.

Patterns of program organization and development priorities should now be emerging, and with them the shape of the plan the study team will present. Administrative issues - location of authority and responsibility for policy-making and daily management, mechanisms of coordination among units, timing and personnel implications of potential reorganization approaches - deserve careful consideration. The following questions will be useful in analyzing each recommendation:

- What resources are needed to implement the recommendation, human and material? how available are they?

- How widely will implementation affect staff and operations? one unit only, many units, all units and staff?

- What are the financial implications - for capital outlays, on-going staff costs, expenditures for materials and services?

- What types of decisions are required - major policy, minor procedural - and who can make them?

- What are the probable consequences of not implementing a recommendation? can this be documented?

The team should reach a preliminary agreement on the elements to be included in a comprehensive preservation program plan, and the sequence in which they can most feasibly be introduced. Before proceeding with a detailed implementation stategy, the library director should be involved in a review of progress and discussion of the probable outcome of the study.

DIRECTOR'S REVIEW

The director can offer valuable assistance in assessing the feasibility of various elements in the plan, and advise the team on factors to be considered in developing an implementation strategy. The study team chair, or the whole team, should meet with the director to outline the major findings of the study, describe the elements to be included in the plan, and discuss the proposed schedule for introducing or expanding activities. (Work sheets from the team review sessions may be useful references for this meeting, since there may be little in the way of finished documentation.)

The director's views on the following should be sought:

- what are the most important and/or most appealing elements in the plan?

- which appear to be the easiest to accomplish? the most difficult?

- how do the implications of the study, in terms of the human and material resources needed to implement major recommendations, fit with the other priorities of and demands on the library?

- have there been any changes since the study began which might affect the library's ability to move ahead in developing preservation activities?

- are there events in the foreseeable future (major changes in other library programs, introduction of new services, curtailment of existing programs, anticipated staff changes, financial pressures or opportunities) which should influence the sequence of implementation activities, or the rate at which they might take place?

- are there things missing which the study team ought to include?

- are there things the director finds unacceptable, or judges to be impossible?

In light of the information and insights gained from the director's review, the team may adjust emphases, alter priorities, or revise the tentative time table.

IMPLEMENTATION STRATEGY

The implementation strategy is a blueprint, or action plan, for transforming the recommendations for an improved preservation program into reality. It should spell out:

- what needs to be done: the tasks, decisions or activities necessary to implement major recommendations

- who is to do it

- authority: who is responsible for seeing that it gets done

- tools, materials, equipment and other resources required

- timetable: when each task is to begin, sequence of activities, completion deadlines

- monitoring and evaluation: when and how will it be known that the recommendation has been implemented

Sections of the implementation strategy may be drafted by individual team members, following a pattern agreed upon in advance by the whole team. Two cautions should be observed:

> Set realistic limits on the amount of detail. The plan will cover many different kinds of activities, to be implemented over several years. It is not sensible to attempt to describe every one of them in the same thorough fashion. The team should focus on the first steps involved in implementing each major recommendation. A detailed blueprint for the early stages of program development can initiate the process, with responsibility for detailed planning of subsequent stages built in.
>
> Set realistic limits on the responsibilities assigned to any single individual. The risk of failure increases directly with the degree to which a major program is dependent on a single position. Limitations of time, the pressure of other responsibilities, and the potential for disruption when a vacancy occurs, all work against success, no matter how excellent the abilities of the person.

This latter caution will be especially important if, as will often be the case, the team's recommendations include the creation of a new "preservation officer" position. Vital as such a managerial or coordinating position may be for the effective administration of preservation activities, the delays and difficulties inherent in funding a new position make it essential that implementation of the first phases of the preservation plan not hinge on such an appointment. Furthermore, it is tempting to assign everything to an unknown new position, thus avoiding the need for changes in existing arrangements.

In addition to this practical consideration, there is an important principle at stake: Preservation is a system-wide concern, and activities which affect the survival of the collections take place throughout the library. One measure of the success of the Preservation Planning Program will be the extent to which this shared responsibility is recognized and accepted by staff throughout the library.

Appointment of a preservation committee, with or without a recommendation for hiring a preservation officer, is often an effective method for encouraging system-wide involvement in the implementation of the Preservation Planning Program results. Here too, however, the study team needs to exercise restraint in the assignment of responsibilities. By reflecting on the amount of time involved in Program activities, the team will be able to make some realistic estimates of how much a standing committee can accomplish in the future, given the level of effort its members are likely to be able to commit to preservation.

A useful approach to ensuring the effective distribution of responsibilities is to ask about each activity:

> What present member of the staff, if given administrative encouragement and the information resources accumulated during the study, would be able to integrate this task into his/her present duties?

In addition to spelling out the what-who-when-how of initial response to the Preservation Planning Program, the implementation strategy should include a process for on-going monitoring of progress and a systematic, periodic evaluation of goals and accomplishments. There are several approaches which might be used, singly or in combination:

- Assign a senior administrator to monitor progress and provide him/her with a calendar of target dates by which reports on the implementation of various activities are due. Should a delay in one area affect the starting date of a later activity, this person might also act as coordinator in adjusting plans and time tables.

- Appoint a preservation committee to perform the monitoring and coordinating rule, with authority from the library director to resolve any inter-departmental difficulties that might arise in the course of implementation. This committee might include some or all of the study team members, and/or staff members from the units which will be most directly involved in implementation.

- Establish a date within twelve to eighteen months for a systematic review of the study team report and recommendations, evaluation of progress in implementing preservation programs, and revision of any elements in the plan for later stages which intervening events have made appropriate. This review should result in a report to the director describing progress, identifying problems

> which may have developed, and proposing solutions. At that time, a second systematic review should also be scheduled, to ensure that elements suggested in the original plan for later stages of program development are not forgoten.

All those involved in monitoring and reviewing progress must keep in mind that some changes in the original plan will almost certainly be desirable, both to accomodate unanticipated conditions within the library and to take advantage of expanding resources and technical developments in the rapidly growing field of preservation. The goal of the Preservation Planning Program is not to set up a rigid scheme for all future activities, but rather to create organizational mechanisms and an informed staff capable of recognizing and responding to changing preservation needs and opportunities.

On-going responsibility and accountability, designed as an integral part of job duties, is the key to successful preservation program development. It will usually be appropriate to divide operational responsibilities among several units or positions involved in different aspects of preservation. Wherever this occurs within the organization, it should be viewed as a regular duty, not an extracurricular activity, with the same kind of supervision, reporting and evaluation that are essential to the proper functioning of all other library programs.

The implementation strategy, both in its organizational details and in the type of staff education and training recommended, should reflect this, encouraging the library to move quickly toward the day when no one on the staff says "preservation is not my responsibility".

PREPARING THE FINAL REPORT

Analysis of the Phase II findings has focused on identifying major needs and appropriate elements in a comprehensive plan for preservation program development. Now attention must be directed to pulling the findings and recommendations together into a report that is realistic, understandable, challenging and persuasive. The final report constitutes both a culmination and commencement. It completes the data gathering and analysis, and provides the foundation and impetus for implementation.

CONTENT AND FORMAT

The report is the responsibility of the entire team, but it is seldom feasible for everyone to share in writing each portion. The team should develop an outline of the report, based on the major issues or themes its recommendations seek to address. Working with a small number of broad issues will facilitate logical organization and presentation of what might otherwise be an overwhelming list of unrelated recommendations.

The following elements might be included in the report:

> Introduction - describing how the study was carried out, the roles of various individuals and groups, the goals or purpose of the undertaking.
>
> Summary of major findings and recommendations - an overview of the preservation problems identified through the study, and an outline of the plan for responding to them. Likely to receive the widest reading, this section might serve as an abstract to the full report.
>
> Description of the present situation - a composite statement of the preservation needs of the collections, based on the background study and the task force findings, organized to correspond with the recommendations that follow.
>
> Recommendations and implementation strategy - presentation of the study team's synthesis of the task force recommendations and the detailed plan for creating or expanding a preservation program.
>
> Appendices - These might include organization charts, implementation time tables, statistical summaries of environmental and condition survey data, and lists of resources, task force documents and other materials which support or justify the final recommendations.

In the course of the study the team and task forces will have accumulated and created many documents. The final report should not attempt to reproduce all the information contained in those documents. It should summarize, providing a brief rationale for the decisions embodied in the recommendations, and referring to the working papers as appropriate for more detailed supporting information. The team should determine guidelines in advance for what is to be included in the report itself, before assigning individuals or sub-groups to draft its various sections. Agreement on the desirable length of each section will aid in achieving balance and an appropriate level of detail.

All team members should review each draft and arrive at a concensus on any changes in substance. Final editing - to ensure stylistic and grammatical consistency - is best assigned to a single individual, perhaps with an assistant. (When word processing equipment is available, the team should make use of it from the very first drafts. The ability to make both major and minor editorial changes quickly and easily, without having to re-proofread unchanged sections, not only saves many hours of clerical time but contributes to the quality of the final result by freeing the team to concentrate on matters of substance.)

As drafts are being reviewed, team members should keep in mind the following factors:

- The report should contain adequate support for all conclusions and recommendations. There is sometimes a tendency at this stage to deal with issues as though they are self-evident. The report needs to provide sufficient background and rationale to make it understandable and persuasive to those who have not shared the study team's experience.

- Recommendations should avoid the appearance of criticizing past performance or policies of the library, by emphasizing future possibilities and opportunities. The study team and task forces, throughout the study, have tried to be aware of the economic realities and other constraints affecting the library. The team should ensure that the report takes those constraints into account, presenting the recommendations in as positive and constructive a light as possible.

- The report must be stylistically readable and grammatically correct, if it is to be well-received.

FINAL REVIEW

It is useful to share the study results and obtain some review of the final draft prior to "publication". Several groups and/or individuals can be helpful as a last check to ensure that issues are adequately covered and clearly presented.

- the library director and/or an institutional administrator can respond to the draft from a managerial perspective;

- senior staff members (unit or department heads) can offer insights or raise questions related to the service and operational implications of the report;

- task force members can comment on the internal balance and accuracy with which the study team has interpreted their findings;

- the consultant, or some other individual with preservation experience, may review the draft for technical accuracy and appropriateness;

- someone completely outside the institution (i.e., a willing spouse or friend) can furnish an objective appraisal of content and clarity.

The team can obtain reactions from these groups and individuals by distributing copies of the draft with a request for response within a specified time. In some cases it may be appropriate for the team to meet with someone to discuss the response. After this final review the team agrees on any necessary changes, and the report is completed and duplicated.

DISSEMINATING THE RESULTS

The study team, in consultation with the director, should decide on the extent and means of disseminating the report. The results should be made known to officers of the parent institution, and to major patron groups, friends organizations, and neighboring libraries. Copies of the summary section might be distributed to such groups, with the full report made available on request.

(The Office of Management Studies may handle outside distribution of the report for libraries using the Preservation Planning Program with its consultants in an assisted self-study. This relieves the participating library of the burden of maintaining an inventory and filling orders. It also provides OMS the opportunity to share the report with other program participants.)

A presentation to the staff about the results of the study, and the implications for them as its recommendations begin to be implemented, can serve as the first step in implementation, and can do much to set the atmosphere and generate support for subsequent program development. Though completion of the report concludes the study team's responsibilities, the manner of its presentation should suggest the inauguration of expanded preservation activities, not the conclusion of library attention to the topic. A staff meeting during which the director formally accepts the report, discharges the team and task forces with thanks, and hands the report on to those responsible for implementation would be a fitting "commencement".